

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

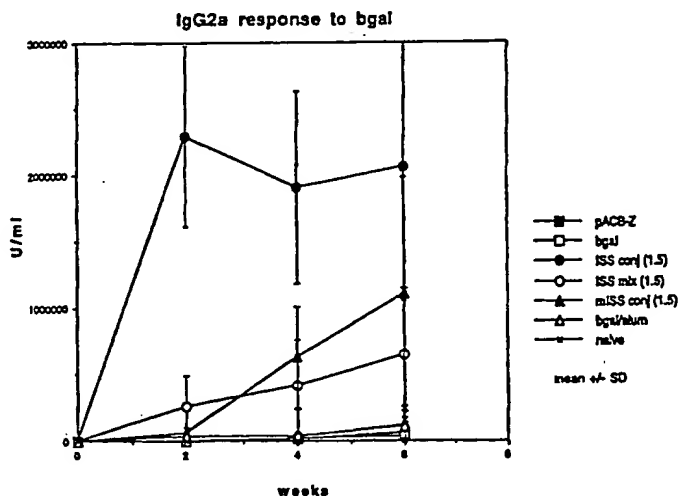
(51) International Patent Classification <sup>6</sup> : A61K 39/00, 39/385, 39/39		A1	(11) International Publication Number: WO 98/16247
		(43) International Publication Date: 23 April 1998 (23.04.98)	
(21) International Application Number: PCT/US97/19004		(81) Designated States: AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, GH, HU, ID, IL, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZW, ARIPO patent (GH, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).	
(22) International Filing Date: 9 October 1997 (09.10.97)			
(30) Priority Data: 60/028,118 11 October 1996 (11.10.96) US			
(71) Applicant (for all designated States except US): THE REGENTS OF THE UNIVERSITY OF CALIFORNIA [US/US]; 22nd floor, 300 Lakeside Drive, Oakland, CA 94612-3350 (US).			
(72) Inventors; and			
(75) Inventors/Applicants (for US only): CARSON, Dennis, A. [US/US]; 14824 Visa Del Oceano, Del Mar, CA 92014 (US). RAZ, Eyal [US/US]; 7965 Camina Huerta, San Diego, CA 92122 (US). ROMAN, Mark [US/US]; 8742-33 Villa La Jolla Drive, La Jolla, CA 92037 (US).			
(74) Agent: TAYLOR, Stacy, L.; Fish & Richardson P.C., Suite 1400, 4225 Executive Square, La Jolla, CA 92037 (US).			

## Published

With international search report.

Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.

(54) Title: IMMUNOSTIMULATORY POLYNUCLEOTIDE/IMMUNOMODULATORY MOLECULE CONJUGATES



## (57) Abstract

Immunostimulatory polynucleotide-immunomodulatory molecule conjugate compositions are disclosed. These compositions include a polynucleotide that is linked to an immunomodulatory molecule, which molecule comprises an antigen and may further comprise immunomodulators such as cytokines and adjuvants. The polynucleotide portion of the conjugate includes at least one immunostimulatory oligonucleotide nucleotide sequence (ISS). Methods of modulating an immune response upon administration of the polynucleotide-immunomodulatory conjugate preparation to a vertebrate host are also disclosed.

BEST AVAILABLE COPY

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LJ	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

- 1 -

**IMMUNOSTIMULATORY POLYNUCLEOTIDE/IMMUNOMODULATORY  
MOLECULE CONJUGATES**

**RELATED U.S. PATENT APPLICATIONS**

This is a continuation-in-part and utility conversion of U.S. Provisional Patent  
5 Application Serial No. 60/028,118, filed October 11, 1996.

**STATEMENT OF FEDERALLY SPONSORED RESEARCH**

Support for the research disclosed herein may have been provided by the National  
Institutes of Health under Grant Nos. AI37305 and/or AR25443.

**FIELD OF THE INVENTION**

- 10 The invention relates to compositions comprising an immunomodulatory molecule (IMM) including an antigen, conjugated to a polynucleotide that contains or consists of at least one immunostimulatory oligonucleotide (ISS-PN). It also relates to methods for modulating the immune response of a vertebrate host to an antigen.

- 2 -

HISTORY OF THE RELATED ART

Conventionally, immunization of a host against an antigen is accomplished by repeatedly vaccinating the host with the antigen. While most current vaccines elicit reasonable antibody responses, cellular responses (in particular, major  
5 histocompatibility complex (MHC) class I-restricted cytotoxic T cells) are generally absent or weak. For many infectious diseases, such as tuberculosis and malaria, humoral responses are of little protective value against infection.

Given the weak cellular immune response to protein antigens, modulation of the immune responses to these antigens has clear importance. The ability to modify  
10 immune responses to protein or peptide antigen has implications for tumor therapy, for the treatment of allergic disorders and for treatment of other conditions achievable through induction of a vigorous cellular immune response.

- 3 -

SUMMARY OF THE INVENTION

The present invention provides compositions comprising an ISS-PN which is conjugated to an IMM (which includes an antigen) to form ISS-PN/IMM conjugates. The ISS-PN/IMM conjugates of the invention are biological response modifiers in the sense that they modify the humoral and cellular immune response of a host to an antigen.

Specifically, the ISS-PN and IMM components of the ISS-PN/IMM conjugates synergistically boost the magnitude of the host immune response against an antigen to a level greater than the host immune response to either the IMM, antigen or ISS-PN alone. The ISS-PN/IMM conjugates also shift the host cellular immune response away from the helper T lymphocyte type 2 (Th2) phenotype toward a helper T lymphocyte type 1 (Th1) phenotype. These responses to ISS-PN/IMM conjugates are particularly acute during the important early phase of the host immune response to an antigen.

To these ends, ISS-PN/IMM conjugates are delivered by any route through which antigen-sensitized host tissues will be contacted with the ISS-PN/IMM conjugate. ISS-PN/IMM conjugates administered in this fashion boost both humoral (antibody) and cellular (Th1 type) immune responses of the host. Thus, use of the method to boost the immune responsiveness of a host to subsequent challenge by a sensitizing antigen without immunization avoids the risk of Th2-mediated, immunization-induced anaphylaxis by suppressing IgE production in response to the antigen challenge. An especially advantageous use for this aspect of the invention is treatment of localized allergic responses in target tissues where the allergens enter the body, such as the skin and mucosa.

Suppression of the Th2 phenotype according to the invention is also a useful in reducing antigen-stimulated IL-4 and IL-5 production. Thus, the invention encompasses delivery of ISS-PN/IMM conjugates to a host to suppress the Th2

- 4 -

phenotype associated with conventional antigen immunization (e.g., for vaccination or allergy immunotherapy).

The shift to a Th1 phenotype achieved according to the invention is accompanied by increased secretion of IFN  $\alpha$ ,  $\beta$  and  $\gamma$ , as well as IL-12 and IL-18. Each of these  
5 cytokines enhance the host's immune defenses against intracellular pathogens, such as viruses. Thus, the invention encompasses delivery of ISS-PN/IMM conjugates to a host to combat pathogenic infection.

Angiogenesis is also enhanced in the Th1 phenotype (ostensibly through stimulation by IL-12). Thus, the invention encompasses delivery of ISS-PN/IMM conjugates to  
10 a host to stimulate therapeutic angiogenesis to treat conditions in which localized blood flow plays a significant etiological role; e.g., retinopathies.

The ISS-PN/IMM conjugates of the invention comprise an IMM conjugated to a polynucleotide that includes, or consists of, at least one immunostimulatory oligonucleotide (ISS-ODN) moiety. The ISS-ODN moiety is a single- or double-  
15 stranded DNA or RNA oligonucleotide having at least 6 nucleotide bases which may include, or consist of, a modified oligonucleoside or a sequence of modified nucleosides.

The ISS-ODN moieties comprise, or may be flanked by, a CpG containing nucleotide sequence or a p(IC) nucleotide sequence, which may be palindromic. Where the  
20 oligonucleotide moiety comprises a CpG sequence, it may include a hexamer structure consisting of: 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'. Examples of such hexamer structures are AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, and AGCGTC.

- 5 -

In one aspect of the invention, the ISS-PN consists of an ISS-ODN. Alternatively, the ISS-PN comprises an ISS-ODN.

Conjugates of the invention also include PN/IMM wherein the PN serves as a carrier to introduce the IMM antigen into MHC Class I processing pathways not normally stimulated by soluble antigen, but lacks ISS activity and therefore does not stimulate a Th1 phenotype immune response. Examples of such PN/IMM are those wherein the CpG motif is mutated, for example, to a GpG motif.

In one aspect of the invention, the IMM conjugate partner to the ISS-PN consists of an antigen. Such antigens are selected from the group of antigens consisting of proteins, peptides, glycoproteins, polysaccharides and gangliosides.

In another aspect of the invention, the IMM conjugate partner comprises an antigen and further comprises an immunostimulatory molecule selected from the group of such molecules consisting of adjuvants, hormones, growth factors, cytokines, chemokines, targeting protein ligands, and trans-activating factors.

15 In another aspect of the invention, the ISS-PN/IMM conjugate is modified for targeted delivery by, for example, attachment to a monoclonal antibody, receptor ligand and/or liposome.

Pharmaceutically acceptable compositions of ISS-PN/IMM conjugates are provided for use in practicing the methods of the invention. Where appropriate to the contemplated course of therapy, the ISS-PN/IMM conjugates may be administered with anti-inflammatory or immunotherapeutic agents. Thus, a particularly useful composition for use in practicing the method of the invention is one in which an anti-inflammatory agent (e.g., a glucocorticoid) is mixed with, or further conjugated to, an ISS-PN/IMM conjugate.

- 6 -

The ISS-PN/IMM conjugates can also be provided in the form of a kit comprising ISS-PN/IMM conjugates and any additional medicaments, as well as a device for delivery of the ISS-PN/IMM conjugates to a host tissue and reagents for determining the biological effect of the ISS-PN/IMM conjugates on a treated host.



- 7 -

BRIEF DESCRIPTION OF THE DRAWINGS

FIGURE 1 is a graph of data demonstrating the vigorous Th1-type immune response (as measured by production of IgG2a against an IMM antigen) stimulated by ISS-PN/IMM (1:5 ratio) in comparison to the levels of Th2-like responses stimulated by an ISS containing, antigen encoding plasmid (pACB-Z); the antigen alone ( $\beta$ -gal); the antigen mixed with an ISS (1:5 ratio); the antigen conjugated to a non-stimulatory PN (mISS conj; 1:5 ratio); the antigen in adjuvant (alum) and, for reference, the IgG2a levels in naive (unexposed) mice. The horizontal axis represents the levels (units/ml) of antibody; the vertical axis represents the number of weeks following primary antigen exposure.

FIGURE 2 is a graph of data demonstrating the levels of Th2-type immune responses (as measured by production of IgG1 against an IMM antigen) stimulated by an ISS containing, antigen encoding plasmid (pACB-Z); the antigen alone ( $\beta$ -gal); the antigen mixed with an ISS (1:5 ratio); the antigen conjugated to a non-stimulatory PN (mISS conj; 1:5 ratio); the antigen in adjuvant (alum) and, for reference, the IgG1 levels in naive (unexposed) mice, all as compared to the vigorous Th1-type immune response produced in mice immunized with ISS-PN/IMM (1:5 ratio). The horizontal axis represents the levels (units/ml) of antibody; the vertical axis represents the number of weeks following primary antigen exposure.

FIGURE 3 is a graph of data demonstrating the vigorous Th1-type immune response (as measured by production of IgG2a against an IMM antigen) stimulated by ISS-PN/IMM in comparison to the levels of Th2-like responses stimulated by the antigen alone (AgE) and antigen conjugated to a non-stimulatory PN (mISS conj). Antigen to PN ratios are all 1:5. The horizontal axis represents the levels (units/ml) of antibody; the vertical axis shows the levels at 4 weeks following primary antigen exposure (shaded bars) and at 2 weeks following secondary antigen challenge (solid bars).

- 8 -

FIGURE 4 is a graph of data demonstrating the levels of Th2-type immune responses (as measured by production of IgG1 against an IMM antigen) stimulated by the antigen alone (AgE) and antigen conjugated to a non-stimulatory PN (mISS conj) in comparison to the vigorous Th1-type immune response stimulated in ISS-PN/IMM immunized mice. Antigen to PN ratios are all 1:5. The horizontal axis represents the levels (units/ml) of antibody; the vertical axis shows the levels at 4 weeks following primary antigen exposure (shaded bars) and at 2 weeks following secondary antigen challenge (solid bars).

FIGURE 5 is a graph of data demonstrating suppression of Th2 associated anti-antigen (AgE) IgE production by ISS-PN/IMM in comparison to the levels of IgE production stimulated by the antigen alone (AgE) and the antigen conjugated to a non-stimulatory PN (mISS conj). Antigen to PN ratios are all 1:5. The horizontal axis represents the levels (counts per minute; cpm) of antibody; the vertical axis shows the levels at 4 weeks following primary antigen exposure (shaded bars) and at 2 weeks following secondary antigen challenge (solid bars).

FIGURE 6 is a graph of data demonstrating the high levels of Th1 associated interferon  $\gamma$  (IFN $\gamma$ ) production stimulated by ISS-PN/IMM in comparison to the relatively low levels of the Th1 cytokine stimulated by an ISS containing, antigen encoding plasmid (pACB-Z); the antigen alone ( $\beta$ -gal); the antigen mixed with an ISS; the antigen conjugated to a non-stimulatory PN (mISS conj); the antigen in adjuvant (alum) and, for reference, the IFN $\gamma$  levels in naive (unexposed) mice. Antigen to PN ratios are all 1:5. The horizontal axis represents the levels (ng/ml) of cytokine; the vertical axis shows the levels of cytokine at 4 weeks following primary antigen exposure (shaded bars).

FIGURE 7 is a graph of data demonstrating the vigorous antigen-specific cytotoxic T lymphocyte (CTL) response stimulated by ISS-PN/IMM in comparison to the levels of CTL production stimulated by an ISS containing, antigen encoding plasmid (pACB-

- 9 -

Z); the antigen alone ( $\beta$ -gal); the antigen mixed with an ISS; the antigen conjugated to a non-stimulatory PN (mISS conj); the antigen in adjuvant (alum) and, for reference, the CTL levels in naive (unexposed) mice. Antigen to PN ratios are all 1:5. The horizontal axis represents the levels of antigen-specific cell lysis obtained (as a  
5 percentage of control; no antigen); the vertical axis shows the levels of CTL detected at different effector (antigen) to target ratios, from 0:1 to 10:1. The legend identifies how each cell population was treated.

- 10 -

DETAILED DESCRIPTION OF THE INVENTIONA. Biological Activity of the ISS-PN/IMM Conjugates

The immune response stimulated by the ISS-PN/IMM conjugates of the invention differs from the vertebrate immune response to conventional vaccination in both magnitude and quality. In the former respect, the host immune response to an antigen is boosted to a level greater than achieved on exposure to an ISS-PN or antigen administered alone or together in an unconjugated form. Thus, one surprising aspect of the invention is that conjugation of an ISS-PN to an antigen-containing IMM produces a synergism between the immunostimulatory activity of the ISS-PN and the immunomodulatory activity of the IMM that immunizes the host to the antigen more effectively than one would predict.

Advantageously, the immune response stimulated according to the invention differs from the immune response of vertebrates to conventional vaccination in that the latter develops in a Th2 phenotype while the former develops in a Th1 phenotype. In this regard, it is helpful to recall that CD4+ lymphocytes generally fall into one of two distinct subsets; i.e., the Th1 and Th2 cells. Th1 cells principally secrete IL-2, IFN $\gamma$  and TNF $\beta$  (the latter two of which mediate macrophage activation and delayed type hypersensitivity) while Th2 cells principally secrete IL-4 (which stimulates production of IgE antibodies), IL-5 (which stimulates granulocyte infiltration of tissue), IL-6 and IL-10. These CD4+ subsets exert a negative influence on one another; i.e., secretion of Th1 lymphokines inhibits secretion of Th2 lymphokines and vice versa.

Factors believed to favor Th1 activation resemble those induced by viral infection and include intracellular pathogens, exposure to IFN- $\beta$ , IFN- $\alpha$ , IFN $\gamma$ , IL-12 and IL-18 and exposure to low doses of antigen. Th1 type immune responses also predominate in autoimmune disease. Factors believed to favor Th2 activation include exposure to IL-4 and IL-10, APC activity on the part of B lymphocytes and high doses of antigen.

- 11 -

Active Th1 (IFN $\gamma$ ) cells enhance cellular immunity and are therefore of particular value in responding to intracellular infections, while active Th2 cells enhance antibody production and are therefore of value in responding to extracellular infections (at the risk of anaphylactic events associated with IL-4 stimulated induction of IgE antibody production). Thus, the ability to shift host immune responses from the Th1 to the Th2 repertoire and vice versa has substantial clinical significance for controlling host immunity against antigen challenge (e.g., in infectious and allergic conditions).

To that end, the methods of the invention shift the host immune response to a sensitizing antigen toward a Th1 phenotype (Example I). Consequently, Th2 associated cytokine production and antigen stimulated production of IgE (Examples II and III) are suppressed, thereby reducing the host's risk of prolonged allergic inflammation and minimizing the risk of antigen-induced anaphylaxis. CTL production is also stimulated to a greater degree in animals treated according to the invention. Because CTL production is tied to antigen processing in Class I MHC pathways, increased CTL production can be produced from non-immunostimulatory PN/MM as well as ISS-PN/MM (Example IV).

Although the invention is not limited to any particular mechanism of action, it is conceivable that PN facilitate uptake of exogenous antigen by antigen presenting cells for presentation through host MHC Class I processing pathways not normally stimulated by soluble antigen. Thus, ISS-PN/MM carry antigen into MHC Class I processing pathways (which may also be achieved by PN/MM without ISS activity) then stimulate a cytokine cascade in a Th1 phenotype (as a result of ISS activity). Whatever the mechanism of action, use of ISS-PN/MM to boost the host's immune responsiveness to a sensitizing antigen and shift the immune response toward a Th1 phenotype avoids the risk of immunization-induced anaphylaxis, suppresses IgE production in response to a sensitizing antigen and eliminates the need to identify the sensitizing antigen for use in immunization.

- 12 -

With reference to the invention, "boosting of immune responsiveness in a Th1 phenotype" in an ISS-PN/IMM treated host is evidenced by:

- 5 (1) a reduction in levels of IL-4 measured before and after antigen-challenge; or detection of lower (or even absent) levels of IL-4 in a treated host as compared to an antigen-primed, or primed and challenged, control;
- (2) an increase in levels of IL-12, IL-18 and/or IFN ( $\alpha$ ,  $\beta$  or  $\gamma$ ) before and after antigen challenge; or detection of higher levels of IL-12, IL-18 and/or IFN ( $\alpha$ ,  $\beta$  or  $\gamma$ ) in an ISS-PN/IMM treated host as compared to an antigen-primed or, primed and challenged, control;
- 10 (3) IgG2a antibody production in a treated host; or
- (4) a reduction in levels of antigen-specific IgE as measured before and after antigen challenge; or detection of lower (or even absent) levels of antigen-specific IgE in an ISS-PN/IMM treated host as compared to an antigen-primed, or primed and challenged, control.

15

Exemplary methods for determining such values are described further in the Examples.

Thus, the ISS-PN/IMM conjugates of the invention provide relatively safe, effective means of stimulating a robust immune response in a vertebrate host against any antigen.

20 B. ISS-PN/IMM Conjugates: Structure and Preparation

1. ISS-PN root structure

The ISS-ODN base of the ISS-PN/IMM conjugates of the invention includes an oligonucleotide, which may be a part of a larger nucleotide construct such as a

- 13 -

plasmid. The term "polynucleotide" therefore includes oligonucleotides, modified oligonucleotides and oligonucleosides, alone or as part of a larger construct. The polynucleotide may be single-stranded DNA (ssDNA), double-stranded DNA (dsDNA), single-stranded RNA (ssRNA) or double-stranded RNA (dsRNA).

- 5 The polynucleotide portion can be linearly or circularly configured, or the oligonucleotide portion can contain both linear and circular segments. Modifications of oligonucleotides include, but are not limited to, modifications of the 3'OH or 5'OH group, modifications of the nucleotide base, modifications of the sugar component, and modifications of the phosphate group.
- 10 The oligonucleotide base of ISS-PN/MM conjugates may comprise ribonucleotides (containing ribose as the only or principal sugar component), deoxyribonucleotides (containing deoxyribose as the principal sugar component), or in accordance with established state-of-the-art modified sugars or sugar analogs may be incorporated in the oligonucleotide of the present invention. Thus, in addition to ribose and deoxyribose,  
15 the sugar moiety may be pentose, deoxypentose, hexose, deoxyhexose, glucose, arabinose, xylose, lyxose, and a sugar "analog" cyclopentyl group. The sugar may be in pyranosyl or in a furanosyl form. In the modified oligonucleotides of the present invention the sugar moiety is preferably the furanoside of ribose, deoxyribose, arabinose or 2'-O-methylribose, and the sugar may be attached to the respective  
20 heterocyclic bases either in I or J anomeric configuration. The preparation of these sugars or sugar analogs and the respective "nucleosides" wherein such sugars or analogs are attached to a heterocyclic base (nucleic acid base) per se is known, and need not be described here, except to the extent such preparation may pertain to any specific example.
- 25 The phosphorous derivative (or modified phosphate group) which may be attached to the sugar or sugar analog moiety in the modified oligonucleotides of the present invention may be a monophosphate, diphosphate, triphosphate, alkylphosphate,

- 14 -

alkanephosphate, phosphoronthioate, phosphorodithioate or the like. The preparation of the above-noted phosphate analogs, and their incorporation into nucleotides, modified nucleotides and oligonucleotides, per se, is also known and need not be described here.

- 5 The heterocyclic bases, or nucleic acid bases which are incorporated in the oligonucleotide base of the ISS-PN/IMM conjugates may be the naturally occurring principal purine and pyrimidine bases, (namely uracil or thymine, cytosine, adenine and guanine, as mentioned above), as well as naturally occurring and synthetic modifications of said principal bases. Those skilled in the art will recognize that a
- 10 large number of "synthetic" non-natural nucleosides comprising various heterocyclic bases and various sugar moieties (and sugar analogs) have become available in the prior art, such that oligonucleotide base of the ISS-PN/IMM conjugates may include one or several heterocyclic bases other than the principal five base components of naturally occurring nucleic acids. Preferably, however, the heterocyclic base in the
- 15 oligonucleotide base of the ISS-PN/IMM conjugates is selected from uracil-5-yl, cytosin-5-yl, adenin-7-yl, adenin-8-yl, guanin-7-yl, guanin-8-yl, 4-aminopyrrolo [2.3-d] pyrimidin-5-yl, 2-amino-4-oxopyrrolo [2,3-d] pyrimidin-5-yl, 2-amino-4-oxopyrrolo [2.3-d] pyrimidin-3-yl groups, where the purines are attached to the sugar moiety of the oligonucleotides via the 9-position, the pyrimidines via the 1-position, the
- 20 pyrrolopyrimidines via the 7-position and the pyrazolopyrimidines via the 1-position.

Structurally, the root oligonucleotide of the ISS-PN component of ISS-PN/IMM is a non-coding sequence which may include at least one unmethylated CpG motif. The relative position of any CpG sequence in ISS-PN with immunostimulatory activity in certain mammalian species (e.g., rodents) is 5'-CG-3' (i.e., the C is in the 5' position

25 with respect to the G in the 3' position). PN/IMM can be conveniently obtained by substituting the cytosine in the CpG dinucleotide with another nucleotide; a particularly useful substitution is with a guanine to form GpG dinucleotide containing PN.



- 15 -

Some oligonucleotide ISS (ISS-ODN) are known. In such ISS-ODN, the CpG motif is flanked by at least two purine nucleotides (e.g., GA or AA) and at least two pyrimidine nucleotides (5'-Purine-Purine-[C]-[G]-Pyrimidine-Pyrimidine-3'). CpG motif-containing ISS-ODN are believed to stimulate B lymphocyte proliferation (see,  
5 e.g., Krieg, *et al.*, *Nature*, 374:546-549, 1995).

The core hexamer structure of the foregoing ISS-PN may be flanked upstream and/or downstream by any number or composition of nucleotides or nucleosides. However, ISS-PN are at least 6 bases in length, and preferably are between 6 and 200 bases in length, to enhance uptake of the ISS-PN/TMM into target tissues. Those of ordinary  
10 skill in the art will be familiar with, or can readily identify, reported nucleotide sequences of known ISS-ODN for reference in preparing ISS-PN. For ease of reference in this regard, the following sources are especially helpful:

- Yamamoto, *et al.*, *Microbiol.Immunol.*, 36:983 (1992)  
Ballas, *et al.*, *J.Immunol.*, 157:1840 (1996)  
15 Klinman, *et al.*, *J.Immunol.*, 158:3635 (1997)  
Sato, *et al.*, *Science*, 273:352 (1996)

Each of these articles are incorporated herein by reference for the purpose of illustrating the level of knowledge in the art concerning the nucleotide composition of known ISS-ODN .

20 In particular, ISS-PN and PN useful in the invention include those which have the following hexameric nucleotide sequences:

1. For ISS-PN, hexamers having "CpG" motifs or, for PN, hexamers having XpY motifs, where X cannot be C if Y is G and vice-versa; and,

- 16 -

2. Inosine and/or uracil substitutions for nucleotides in the foregoing hexamer sequences for use as RNA ISS-ODN.

For example, DNA based ISS-PN useful in the invention include those which have the following hexameric nucleotide sequences:

- 5 AACGTT, AGCGTC, GACGTT, GCGGTT, AACGTC, AGCGTC, GACGTC, GCGGTC, AACGCC, AGCGCC, GACGCC, GCGGCC, AGCGCT, GACGCT, GCGGCT, TTCGAA, GCGGTT and AACGCC (respectively, SEQ.ID.Nos. 1-18).

- RNA based ISS-PN useful in the invention include those which have the following  
10 hexameric nucleotide sequences:

AACGUU, AACGpI, AACGpC, AGCGUC, AGCGpI, AGCGpC, GACGCU, GACGpI, GACGpC, GACGUU, GACGpI, GACGpC, GACGUC, GACGpI, GACGpC, and poly(I•C) (respectively, SEQ.ID.Nos. 19-33).

- 15 The ISS-PN may or may not include palindromic regions. If present, a palindrome may extend only to a CpG motif, if present, in the core hexamer sequence, or may encompass more of the hexamer sequence as well as flanking nucleotide sequences.

- In addition, backbone phosphate group modifications (e.g., methylphosphonate, phosphorothioate, phosphoroamidate and phosphorodithioate internucleotide linkages)  
20 can confer anti-microbial activity on the ISS-PN and enhance their stability *in vivo*, making them particularly useful in therapeutic applications. A particularly useful phosphate group modification is the conversion to the phosphorothioate or phosphorodithioate forms of ISS-PN. In addition to their potentially anti-microbial

- 17 -

properties, phosphorothioates and phosphorodithioates are more resistant to degradation *in vivo* than their unmodified oligonucleotide counterparts, making the ISS-PN/IMM of the invention more available to the host.

## 2. IMM conjugate partners.

- 5 The oligonucleotide base of the ISS-PN/IMM conjugate is conjugated to an IMM which includes an antigen and may further include an immunomodulatory agent. An "antigen" is a substance that is recognized and bound specifically by an antibody or by a T cell antigen receptor. Antigens can include peptides, proteins, glycoproteins and polysaccharides, including portions thereof and combinations thereof. The  
10 antigens can be those found in nature or can be synthetic.

The term "immunomodulatory" as used herein includes immunostimulatory as well as immunosuppressive effects. Immunostimulatory effects include, but are not limited to, those that directly or indirectly enhance cellular or humoral immune responses. Examples of immunostimulatory effects include, but are not limited to, increased  
15 antigen-specific antibody production; activation or proliferation of a lymphocyte population such as NK cells, CD4+ T lymphocytes, CD8+ T lymphocytes, macrophages and the like; as well as increased synthesis of Th1 associated immunostimulatory cytokines including, but not limited to, IL-6, IL-12, IL-18, IFN- $\alpha$ ,  $\beta$  and  $\gamma$ , TNF- $\alpha$  and the like. Immunosuppressive effects include those that directly  
20 or indirectly decrease cellular or humoral immune responses.

Examples of immunosuppressive effects include, but are not limited to, a reduction in antigen-specific antibody production such as reduced IgE production; activation of lymphocyte or other cell populations that have immunosuppressive activities such as those that result in immune tolerance; and increased synthesis of cytokines that have  
25 suppressive effects toward certain cellular functions. One example of this is IFN- $\gamma$ , which can block IL-4 induced class switch to IgE and IgG1, thereby reducing the

- 18 -

levels of these antibody subclasses.

Thus, an "immunomodulatory agent" suitable for use as conjugate partners for ISS-PN/IMM can be a peptide, such as an antigen or cytokine. Where the ISS-PN/IMM conjugate partner is a peptide, suitable peptides include purified native peptides, 5 synthetic peptides, recombinant proteins, crude protein extracts, attenuated or inactivated viruses, cells, micro-organisms, or fragments of such peptides.

Protein antigens that can serve as IMM conjugate partners include antigens from a wide variety of sources, including allergens such as plant pollens, dust mite proteins, animal dander, saliva, and fungal spores as well as infectious microorganisms. 10 Examples of the latter include attenuated or inactivated viruses such as HIV-1, HIV-2, hepatitis, herpes simplex, rotavirus, polio virus, measles virus, human and bovine papilloma virus, and slow brain viruses. For immunization against tumor formation, the conjugate can include tumor cells (live or irradiated), tumor cell extracts, or protein subunits of tumor antigens. Vaccines for immuno-based contraception can be 15 formed by including sperm proteins as the peptide portion of the conjugate.

Among the suitable cytokines for use as components of IMM conjugate partners are the interleukins (IL-1, IL-2, IL-3, etc.), interferons (e.g., IFN- $\alpha$ , IFN- $\beta$ , IFN- $\gamma$ ), erythropoietin, colony stimulating factors (e.g., G-CSF, M-CSF, GM-CSF) and TNF- $\alpha$ .

IMM conjugate partners can also include amino acid sequences that mediate protein 20 binding to a specific receptor or that mediate targeting to a specific cell type or tissue. Examples include, but are not limited to, antibodies or antibody fragments; peptide hormones such as human growth hormone; and enzymes. Co-stimulatory molecules such as B7 (CD80), trans-activating proteins such as transcription factors, chemokines such as macrophage chemotactic protein (MCP) and other chemoattractant or 25 chemotactic peptides are also useful peptide-based conjugate partners.

- 19 -

More specifically, suitable antigens for use as ISS-PN/IMM conjugate partners include any molecule capable of being conjugated to an oligonucleotide and eliciting a B cell or T cell antigen-specific response. Preferably, antigens elicit an antibody response specific for the antigen. A wide variety of molecules are antigens. These include, but  
5 are not limited to, sugars, lipids, autacoids and hormones, as well as macromolecules such as complex carbohydrates, and phospholipids. Small molecules may need to be haptenized in order to be rendered antigenic.

Preferably the antigens are peptides, polysaccharides (such as the capsular polysaccharides used in *Haemophilus influenza* vaccines), gangliosides and  
10 glycoproteins. The antigen may be an intact antigen or T cell epitope(s) of an antigen. These can be obtained through several methods known in the art, including isolation and synthesis using chemical and enzymatic methods. In certain cases, such as for many sterols fatty acids and phospholipids, the antigenic portions are commercially available.

15 Many antigenic peptides and proteins are known in, and available to the art; others can be identified using conventional techniques. Examples of known antigens include, but are not limited to :

- a. Allergens such as reactive major dust mite allergens *Der pI* and *Der pII* (see, Chua, et al., *J.Exp.Med.*, 167:175-182, 1988; and, Chua, et al.,  
20 *Int.Arch.Allergy Appl. Immunol.*, 91:124-129, 1990), T cell epitope peptides of the *Der pII* allergen (see, Joost van Neerven, et al., *J.Immunol.*, 151:2326-2335, 1993), the highly abundant Antigen E (*Amb aI*) ragweed pollen allergen (see, Rafnar, et al., *J.Biol.Chem.*, 266:1229-1236, 1991), phospholipase A<sub>2</sub> (bee venom) allergen and T cell epitopes therein (see, Dhillon, et al., *J.Allergy Clin.Immunol.*, \_\_:42-\_\_, 1992),  
25 white birch pollen (*Betvl*) (see, Breiteneder, et al., *EMBO*, 8:1935-1938, 1989), the *Fel dI* major domestic cat allergen (see, Rogers, et al., *Mol.Immunol.*, 30:559-568, 1993), tree pollen (see, Elsayed et al., *Scand. J. Clin. Lab. Invest. Suppl.*, 204:17-31,

- 20 -

1991) and grass pollen (*see*, Malley, *J. Reprod. Immunol.*, 16:173-86, 1989).

b. Live, attenuated and inactivated microorganisms such as inactivated polio virus (Jiang *et al.*, *J. Biol. Stand.*, 14:103-9, 1986), attenuated strains of Hepatitis A virus (Bradley *et al.*, *J. Med. Virol.*, 14:373-86, 1984), attenuated measles  
5 virus (James *et al.*, *N. Engl. J. Med.*, 332:1262-6, 1995) and epitopes of pertussis virus (e.g., ACEL-IMUNE® acellular DTP, Wyeth-Lederle Vaccines and Pediatrics).

c. Contraceptive antigens such as human sperm protein (Lea *et al.*, *Biochim. Biophys. Acta*, 1307:263, 1996).

The published sequence data and methods for isolation and synthesis of the antigens  
10 described in these articles are incorporated herein by this reference to illustrate knowledge in the art regarding useful antigen sources. Those of ordinary skill in the art will be familiar with, or can readily ascertain, the identity of other useful antigens for use as ISS-PN/IMM conjugate partners.

Particularly useful immunostimulatory peptides for inclusion in IMM are those which  
15 stimulate Th1 immune responses, such as IL-12 (Bliss, *et al.*, *J. Immunol.*, 156:887-894, 1996), IL-18, INF- $\alpha$ , $\beta$  and  $\gamma$  or TGF- $\alpha$ . Conjugation of adjuvants (such as keyhole limpet hemocyanin, KLH) to the ISS-PN/IMM conjugate can further enhance the activity of the ISS-PN/IMM conjugates of the invention.

Other useful adjuvants include cholera toxin, procholera toxin, cholera toxin B subunit  
20 and fungal polysaccharides including, but not limited to, schizophyllan, muramyl dipeptide, muramyl dipeptide derivatives, phorbol esters, microspheres, non-*Helicobacter pylori* bacterial lysates, labile toxin of *Escherichia coli*, block polymers, saponins, and ISCOMs. For additional adjuvants, those of ordinary skill in the art may also refer to, for example, Azuma, I., "Synthetic Immunoadjuvants: Application  
25 to Non-Specific Host Stimulation and Potentiation of Vaccine Immunogenicity"

- 21 -

- Vaccine*, vol. 10, 1000 (1992); Pockley, A.G. & Montgomery, P.C., "In vivo Adjuvant Effect of Interleukins 5 and 6 on Rat Tear IgA Antibody Responses" *Immunology*, vol. 73, 19-23 (1991); Adam, A. & Lederer, E. "Muramyl peptides as Immunomodulators" *ISI ATLAS OF SCIENCE* 205 (1988); Clements, J.D., et al. "Adjuvant Activity of *Escherichia coli* Heat-labile Enterotoxin and Effect on the Induction of Oral Tolerance in Mice to Unrelated Protein Antigens" *Vaccine*, vol. 6, 269 (1988); Ben Ahmeida, E.T.S., et al. "Immunopotential of Local and Systemic Humoral Immune Responses by ISCOMs, Liposomes and FCA: Role in Protection Against Influenza A in Mice" *Vaccine*, vol. 11, 1302 (1993); and Gupta, R.K. et al. "Adjuvants - A Balance Between Toxicity and Adjuvanticity" *Vaccine*, vol. 11, 290-308 (1993).

Those of ordinary skill in the art will appreciate that non-antigen components of IMM described above can also be administered in unconjugated form with an ISS-PN/IMM (antigen only) conjugate. Thus, the co-administration of such components is encompassed by the invention.

15 C. Synthesis of Polynucleotide Conjugates

1. Polynucleotide portion

- ISS-PN can be synthesized using techniques and nucleic acid synthesis equipment which are well-known in the art. For reference in this regard, see, e.g., Ausubel, et al., *Current Protocols in Molecular Biology*, Chs. 2 and 4 (Wiley Interscience, 1989);
- 20 Maniatis, et al., *Molecular Cloning: A Laboratory Manual* (Cold Spring Harbor Lab., New York, 1982); U.S. Patent No. 4,458,066 and U.S. Patent No. 4,650,675. When assembled enzymatically, the individual units can be ligated with a ligase such as T4 DNA or RNA ligase as described in, for example, U.S. Patent No. 5,124,246. Oligonucleotide degradation could be accomplished through the exposure of an
- 25 oligonucleotide to a nuclease, as exemplified in U.S. Patent No. 4,650,675. These references are incorporated herein by reference for the sole purpose of demonstrating knowledge in the art concerning production of synthetic polynucleotides. Because the

- 22 -

ISS-PN is non-coding, there is no concern about maintaining an open reading frame during synthesis.

Alternatively, ISS-PN may be isolated from microbial species (especially mycobacteria) using techniques well-known in the art, such as nucleic acid  
5 hybridization. Preferably, such isolated ISS-PN will be purified to a substantially pure state; i.e., to be free of endogenous contaminants, such as lipopolysaccharides. ISS-PN isolated as part of a larger polynucleotide can be reduced to the desired length by techniques well known in the art, such as by endonuclease digestion. Those of  
10 ordinary skill in the art will be familiar with, or can readily ascertain, techniques suitable for isolation, purification and digestion of polynucleotides to obtain ISS-PN of potential use in the invention.

Circular ISS-PN can be isolated, synthesized through recombinant methods, or chemically synthesized. Where the circular ISS-PN is obtained through isolation or through recombinant methods, the ISS-PN will preferably be a plasmid. The chemical  
15 synthesis of smaller circular oligonucleotides can be performed using literature methods (Gao et al., Nucleic Acids Res. (1995) 23:2025-9; Wang et al., Nucleic Acids Res. (1994) 22:2326-33).

The ISS-PN can also contain modified oligonucleotides. These modified oligonucleotides can be synthesized using standard chemical transformations. The  
20 efficient solid-support based construction of methylphosphonates has been described. Agrawal et al. (19) Tet. Lett. 28:3539-3542. The synthesis of other phosphorous based modified oligonucleotides, such as phosphotriesters (Miller et al. JACS 93, 6657-6665), phosphoramidates (Jager et al, Biochemistry 27, 7247-7246), and phosphorodithioates (U.S. Patent No. 5,453,496) has also been described. Other non-  
25 phosphorous based modified oligonucleotides can also be used (Stirchak et al., Nucleic Acids Res. 17, 6129-6141).



- 23 -

- The preparation of base-modified nucleosides, and the synthesis of modified oligonucleotides using said base-modified nucleosides as precursors, has been described, for example, in U.S. Patents 4,910,300, 4,948,882, and 5,093,232. These base-modified nucleosides have been designed so that they can be incorporated by
- 5 chemical synthesis into either terminal or internal positions of an oligonucleotide. Such base-modified nucleosides, present at either terminal or internal positions of an oligonucleotide, can serve as sites for attachment of a peptide or other antigen. Nucleosides modified in their sugar moiety have also been described (e.g., U.S. Patents 4,849,513, 5,015,733, 5,118,800, 5,118,802) and can be used similarly.
- 10 The techniques for making phosphate group modifications to oligonucleotides are known in the art and do not require detailed explanation. For review of one such useful technique, the an intermediate phosphate triester for the target oligonucleotide product is prepared and oxidized to the naturally occurring phosphate triester with aqueous iodine or with other agents, such as anhydrous amines. The resulting
- 15 oligonucleotide phosphoramidates can be treated with sulfur to yield phosphorothioates. The same general technique (excepting the sulfur treatment step) can be applied to yield methylphosphoramidites from methylphosphonates. For more details concerning phosphate group modification techniques, those of ordinary skill in the art may wish to consult U.S. Patent Nos. 4,425,732; 4,458,066; 5,218,103 and 5,453,496, as well
- 20 as *Tetrahedron Lett.* at 21:4149 (1995), 7:5575 (1986), 25:1437 (1984) and *Journal Am.Chem.Soc.*, 93:6657 (1987), the disclosures of which are incorporated herein for the sole purpose of illustrating the standard level of knowledge in the art concerning preparation of these compounds.

## 2. Linking the PN component to the IMM component

- 25 The ISS-PN component can be linked to the IMM portion of the conjugate in a variety of ways. The link can be made at the 3' or 5' end of the ISS-PN, or to a suitably modified base at an internal position in the PN. If the peptide contains a suitable

- 24 -

reactive group (e.g., an N-hydroxysuccinimide ester) it can be reacted directly with the N<sup>4</sup> amino group of cytosine residues. Depending on the number and location of cytosine residues in the ISS-PN, specific labeling at one or more residues can be achieved.

- 5 Alternatively, modified oligonucleosides, such as are known in the art, can be incorporated at either terminus, or at internal positions in the ISS-PN. These can contain blocked functional groups which, when deblocked, are reactive with a variety of functional groups which can be present on, or attached to, a peptide of interest.

The IMM portion of the conjugate can be attached to the 3'-end of the ISS-PN  
10 through solid support chemistry. For example, the ISS-PN portion can be added to a polypeptide portion that has been pre-synthesized on a support (Haralambidis et al., Nucleic Acids Res. (1990) 18:493-99; Haralambidis et al., Nucleic Acids Res. (1990) 18:501-505). Alternatively, the PN can be synthesized such that it is connected to a solid support through a cleavable linker extending from the 3'-end. Upon chemical  
15 cleavage of the ISS-PN from the support, a terminal thiol group is left at the 3'-end of the ISS-PN (Zuckermann et al., Nucleic Acids Res. (1987) 15:5305-5321; Corey et al., (1987) Science 238:1401-1403), or a terminal amine group is left at the 3'-end of the PN (Nelson et al., Nucleic Acids Res. (1989) 17:1781-94). Conjugation of the amino-modified PN to amino groups of the peptide can be performed as described in  
20 Benoit et al., Neuromethods (1987) 6:43-72. Conjugation of the thiol-modified ISS-PN to carboxyl groups of the peptide can be performed as described in Sinah et al., Oligonucleotide Analogues: A Practical Approach (1991) IRL Press.

The IMM portion of the conjugate can be attached to the 5'-end of the ISS-PN through an amine, thiol, or carboxyl group that has been incorporated into the ISS-PN  
25 during its synthesis. Preferably, while the ISS- PN is fixed to the solid support, a linking group comprising a protected amine, thiol, or carboxyl at one end, and a phosphoramidite at the other, is covalently attached to the 5'-hydroxyl (Agrawal et al.,

- 25 -

- Nucleic Acids Res. (1986) 14:6227-6245; Connolly, Nucleic Acids Res. (1985) 13:4485-4502; Coull et al., Tetrahedron Lett. (1986) 27:3991-3994; Kremisky et al., Nucleic Acids Res. (1987) 15:2891-2909; Connolly, Nucleic Acids Res. (1987) 15:3131-3139; Bischoff et al., Anal. Biochem. (1987) 164:336-344; Blanks et al.,
- 5 Nucleic Acids Res. (1988) 16:10283-10299; U.S. Patent Nos. 4,849,513, 5,015,733, 5,118,800, and 5,118,802). Subsequent to deprotection, the latent amine, thiol, and carboxyl functionalities can be used to covalently attach the PN to a peptide (Benoit et al., Neuromethods (1987) 6:43-72; Sinah et al., Oligonucleotide Analogues: A Practical Approach (1991) IRL Press).
- 10 A peptide portion can be attached to a modified cytosine or uracil at any position in the ISS-PN. The incorporation of a "linker arm" possessing a latent reactive functionality, such as an amine or carboxyl group, at C-5 of the modified base provides a handle for the peptide linkage (Ruth, 4th Annual Congress for Recombinant DNA Research, p. 123).
- 15 The linkage of the ISS-PN to a peptide can also be formed through a high-affinity, non-covalent interaction such as a biotin-streptavidin complex. A biotinyl group can be attached, for example, to a modified base of an oligonucleotide (Roget et al., Nucleic Acids Res. (1989) 17:7643-7651). Incorporation of a streptavidin moiety into the peptide portion allows formation of a non-covalently bound complex of the
- 20 streptavidin conjugated peptide and the biotinylated PN.

The linkage of the ISS-PN to a lipid can be formed using standard methods. These methods include, but are not limited to, the synthesis of oligonucleotide-phospholipid conjugates (Yanagawa et al., Nucleic Acids Symp. Ser. (1988) 19:189-92), oligonucleotide-fatty acid conjugates (Grabarek et al., Anal. Biochem. (1990) 185:131-

25 35; Staros et al., Anal. Biochem. (1986) 156:220-22), and oligonucleotide-sterol conjugates (Boujrad et al., Proc. Natl. Acad. Sci. USA (1993) 90:5728-31).

The linkage of the ISS-PN to a oligosaccharide can be formed using standard known

- 26 -

methods. These methods include, but are not limited to, the synthesis of oligonucleotide-oligosaccharide conjugates, wherein the oligosaccharide is a moiety of an immunoglobulin (O'Shannessy et al., J. Applied Biochem. (1985) 7:347-55).

Adjuvants and cytokines may also be genetically or chemically linked to the ISS-ODN conjugates. Examples of this type of fusion peptide are known to those skilled in the art and can also be found in Czerkinsky *et al.*, *Infect. Immun.*, 57: 1072-77 (1989); Nashar *et al.*, *Vaccine*, 11: 235-40 (1993); and Dertzbaugh and Elson, *Infect. Immun.*, 61: 48-55 (1993).

The linkage of a circular ISS-PN to an IMM can be formed in several ways. Where the circular PN is synthesized using recombinant or chemical methods, a modified nucleoside (Ruth, in *Oligonucleotides and Analogues: A Practical Approach* (1991) IRL Press). Standard linking technology can then be used to connect the circular ISS-PN to the antigen or immunostimulatory peptide (Goodchild, *Bioconjugate Chem.* (1990) 1: 165). Where the circular ISS-PN is isolated, or synthesized using recombinant or chemical methods, the linkage can be formed by chemically activating, or photoactivating, a reactive group (e.g. carbene, radical) that has been incorporated into the antigen or immunostimulatory peptide.

Additional methods for the attachment of peptides and other molecules to ISS-PNs can be found in C. Kessler: *Nonradioactive labeling methods for nucleic acids* in L.J. Kricka (ed.) "Nonisotopic DNA Probe Techniques," Academic Press 1992 and in Geoghegan and Stroh, *Bioconjug. Chem.*, 3:138-146, 1992.

D. Methods and Routes for Administration of ISS-PN/IMM to a Host

1. Drug delivery

The ISS-PN/IMM of the invention are administered to a host using any available method and route suitable for drug delivery, including *ex vivo* methods (e.g., delivery

- 27 -

of cells incubated or transfected with an ISS-PN/IMM) as well as systemic or localized routes. However, those of ordinary skill in the art will appreciate that methods and localized routes which direct the ISS-PN/IMM into antigen-sensitized tissue will be preferred in most circumstances to systemic routes of administration, both for  
5 immediacy of therapeutic effect and avoidance of *in vivo* degradation.

The entrance point for many exogenous antigens into a host is through the skin or mucosa. Thus, delivery methods and routes which target the skin (e.g., for cutaneous and subcutaneous conditions) or mucosa (e.g., for respiratory, ocular, lingual or genital conditions) will be especially useful. Those of ordinary skill in the clinical arts will  
10 be familiar with, or can readily ascertain, means for drug delivery into skin and mucosa. For review, however, exemplary methods and routes of drug delivery useful in the invention are briefly discussed below.

Intranasal administration means are particularly useful in addressing respiratory inflammation, particularly inflammation mediated by antigens transmitted from the  
15 nasal passages into the trachea or broncheoli. Such means include inhalation of aerosol suspensions or insufflation of the polynucleotide compositions of the invention. Nebulizer devices suitable for delivery of polynucleotide compositions to the nasal mucosa, trachea and bronchioli are well-known in the art and will therefore not be described in detail here. For general review in regard to intranasal drug delivery,  
20 those of ordinary skill in the art may wish to consult Chien, *Novel Drug Delivery Systems*, Ch. 5 (Marcel Dekker, 1992).

Dermal routes of administration, as well as subcutaneous injections, are useful in addressing allergic reactions and inflammation in the skin. Examples of means for delivering drugs to the skin are topical application of a suitable pharmaceutical  
25 preparation, transdermal transmission, injection and epidermal administration.

For transdermal transmission, absorption promoters or iontophoresis are suitable

- 28 -

methods. For review regarding such methods, those of ordinary skill in the art may wish to consult Chien, *supra* at Ch. 7. Iontophoretic transmission may be accomplished using commercially available "patches" which deliver their product continuously via electric pulses through unbroken skin for periods of several days or  
5 more. Use of this method allows for controlled transmission of pharmaceutical compositions in relatively great concentrations, permits infusion of combination drugs and allows for contemporaneous use of an absorption promoter.

An exemplary patch product for use in this method is the LECTRO PATCH trademarked product of General Medical Company of Los Angeles, CA. This product  
10 electronically maintains reservoir electrodes at neutral pH and can be adapted to provide dosages of differing concentrations, to dose continuously and/or to dose periodically. Preparation and use of the patch should be performed according to the manufacturer's printed instructions which accompany the LECTRO PATCH product; those instructions are incorporated herein by this reference.

15 Epidermal administration essentially involves mechanically or chemically irritating the outermost layer of the epidermis sufficiently to provoke an immune response to the irritant. An exemplary device for use in epidermal administration employs a multiplicity of very narrow diameter, short tynes which can be used to scratch ISS-PN/IMM coated onto the tynes into the skin. The device included in the MONO-  
20 VACC old tuberculin test manufactured by Pasteur Merieux of Lyon, France is suitable for use in epidermal administration of ISS-PN/IMM. Use of the device is according to the manufacturer's written instructions included with the device product; these instructions regarding use and administration are incorporated herein by this reference to illustrate conventional use of the device. Similar devices which may also  
25 be used in this embodiment are those which are currently used to perform allergy tests.

Ophthalmic administration (e.g., for treatment of allergic conjunctivitis) involves invasive or topical application of a pharmaceutical preparation to the eye. Eye drops,

- 29 -

topical cremes and injectable liquids are all examples of suitable mileaus for delivering drugs to the eye.

Systemic administration involves invasive or systemically absorbed topical administration of pharamaceutical preparations. Topical applications as well as  
5 intravenous and intramuscular injections are examples of common means for systemic administration of drugs.

## 2. Dosing parameters

A particular advantage of the ISS-PN/IMM of the invention is their capacity to exert immunomodulatory activity even at relatively minute dosages. Although the dosage  
10 used will vary depending on the clinical goals to be achieved, a suitable dosage range is one which provides up to about 1-1000  $\mu\text{g}$  of ISS-PN/IMM/ml of carrier in a single dosage. Alternatively, a target dosage of ISS-PN/IMM can be considered to be about 1-10  $\mu\text{M}$  in a sample of host blood drawn within the first 24-48 hours after administration of ISS-PN/IMM. Based on current studies, ISS-PN/IMM are believed  
15 to have little or no toxicity at these dosage levels.

In this respect, it should be noted that the anti-inflammatory and immunotherapeutic activity of ISS-PN/IMM in the invention is essentially dose-dependent. Therefore, to increase ISS-PN/IMM potency by a magnitude of two, each single dose is doubled in concentration. Clinically, it may be advisable to administer the ISS-PN/IMM in a low  
20 dosage (e.g., about 1  $\mu\text{g}/\text{ml}$  to about 50  $\mu\text{g}/\text{ml}$ ), then increase the dosage as needed to achieve the desired therapeutic goal.

In view of the teaching provided by this disclosure, those of ordinary skill in the clinical arts will be familiar with, or can readily ascertain, suitable parameters for administration of ISS-PN/IMM according to the invention.

- 30 -

## 3. ISS-PN/TMM compositions

ISS-PN/TMM will be prepared in a pharmaceutically acceptable composition for delivery to a host. Pharmaceutically acceptable carriers preferred for use with the ISS-PN/TMM of the invention may include sterile aqueous or non-aqueous solutions, suspensions, and emulsions. Examples of non-aqueous solvents are propylene glycol, polyethylene glycol, vegetable oils such as olive oil, and injectable organic esters such as ethyl oleate. Aqueous carriers include water, alcoholic/ aqueous solutions, emulsions or suspensions, including saline and buffered media. Parenteral vehicles include sodium chloride solution, Ringer's dextrose, dextrose and sodium chloride, lactated Ringer's or fixed oils. Intravenous vehicles include fluid and nutrient replenishers, electrolyte replenishers (such as those based on Ringer's dextrose), and the like. Preservatives and other additives may also be present such as, for example, antimicrobials, antioxidants, chelating agents, and inert gases and the like. A composition of ISS-PN/TMM may also be lyophilized using means well known in the art, for subsequent reconstitution and use according to the invention.

Absorption promoters, detergents and chemical irritants (e.g., keratinolytic agents) can enhance transmission of an ISS-PN/TMM composition into a target tissue. For reference concerning general principles regarding absorption promoters and detergents which have been used with success in mucosal delivery of organic and peptide-based drugs, see Chien, *Novel Drug Delivery Systems*, Ch. 4 (Marcel Dekker, 1992).

Examples of suitable nasal absorption promoters in particular are set forth at Chien, *supra* at Ch. 5, Tables 2 and 3; milder agents are preferred. Suitable agents for use in the method of this invention for mucosal/nasal delivery are also described in Chang, *et al.*, *Nasal Drug Delivery*, "Treatise on Controlled Drug Delivery", Ch. 9 and Table 3-4B thereof, (Marcel Dekker, 1992). Suitable agents which are known to enhance absorption of drugs through skin are described in Sloan, Use of Solubility Parameters from Regular Solution Theory to Describe Partitioning-Driven Processes, Ch. 5,



- 31 -

"Prodrugs: Topical and Ocular Drug Delivery" (Marcel Dekker, 1992), and at places elsewhere in the text. All of these references are incorporated herein for the sole purpose of illustrating the level of knowledge and skill in the art concerning drug delivery techniques.

- 5 A colloidal dispersion system may be used for targeted delivery of the ISS-PN/IMM to specific tissue. Colloidal dispersion systems include macromolecule complexes, nanocapsules, microspheres, beads, and lipid-based systems including oil-in-water emulsions, micelles, mixed micelles, and liposomes. The preferred colloidal system of this invention is a liposome.
- 10 Liposomes are artificial membrane vesicles which are useful as delivery vehicles *in vitro* and *in vivo*. It has been shown that large unilamellar vesicles (LUV), which range in size from 0.2-4.0  $\mu\text{m}$  can encapsulate a substantial percentage of an aqueous buffer containing large macromolecules. RNA, DNA and intact virions can be encapsulated within the aqueous interior and be delivered to cells in a biologically
- 15 active form (Fraley, *et al.*, *Trends Biochem. Sci.*, 6:77, 1981). In addition to mammalian cells, liposomes have been used for delivery of polynucleotides in plant, yeast and bacterial cells. In order for a liposome to be an efficient gene transfer vehicle, the following characteristics should be present: (1) encapsulation of the genes encoding the antisense polynucleotides at high efficiency while not compromising their
- 20 biological activity; (2) preferential and substantial binding to a target cell in comparison to non-target cells; (3) delivery of the aqueous contents of the vesicle to the target cell cytoplasm at high efficiency; and (4) accurate and effective expression of genetic information (Mannino, *et al.*, *Biotechniques*, 6:682, 1988).

- The composition of the liposome is usually a combination of phospholipids,
- 25 particularly high-phase-transition-temperature phospholipids, usually in combination with steroids, especially cholesterol. Other phospholipids or other lipids may also be

- 32 -

used. The physical characteristics of liposomes depend on pH, ionic strength, and the presence of divalent cations.

- Examples of lipids useful in liposome production include phosphatidyl compounds, such as phosphatidylglycerol, phosphatidylcholine, phosphatidylserine, 5 phosphatidylethanolamine, sphingolipids, cerebroside, and gangliosides. Particularly useful are diacylphosphatidylglycerols, where the lipid moiety contains from 14-18 carbon atoms, particularly from 16-18 carbon atoms, and is saturated. Illustrative phospholipids include egg phosphatidylcholine, dipalmitoylphosphatidylcholine and distearoylphosphatidylcholine.
- 10 The targeting of liposomes can be classified based on anatomical and mechanistic factors. Anatomical classification is based on the level of selectivity, for example, organ-specific, cell-specific, and organelle-specific. Mechanistic targeting can be distinguished based upon whether it is passive or active. Passive targeting utilizes the natural tendency of liposomes to distribute to cells of the reticulo-endothelial system 15 (RES) in organs which contain sinusoidal capillaries. Active targeting, on the other hand, involves alteration of the liposome by coupling the liposome to a specific ligand such as a monoclonal antibody, sugar, glycolipid, or protein, or by changing the composition or size of the liposome in order to achieve targeting to organs and cell types other than the naturally occurring sites of localization.
- 20 The surface of the targeted delivery system may be modified in a variety of ways. In the case of a liposomal targeted delivery system, lipid groups can be incorporated into the lipid bilayer of the liposome in order to maintain the targeting ligand in stable association with the liposomal bilayer. Various well known linking groups can be used for joining the lipid chains to the targeting ligand (see, e.g., Yanagawa, *et al.*, 25 *Nuc.Acids Symp.Ser.*, 19:189 (1988); Grabarek, *et al.*, *Anal.Biochem.*, 185:131 (1990); Staros, *et al.*, *Anal.Biochem.*, 156:220 (1986) and Boujrad, *et al.*, *Proc.Natl.Acad.Sci.USA*, 90:5728 (1993), the disclosures of which are incorporated

- 33 -

herein by reference solely to illustrate the standard level of knowledge in the art concerning conjugation of PNs to lipids). Targeted delivery of ISS-PN/IMM can also be achieved by conjugation of the ISS-PN/IMM to a the surface of viral and non-viral recombinant expression vectors, to an antigen or other ligand, to a monoclonal  
5 antibody or to any molecule which has the desired binding specificity.

Co-administration of a peptide drug with an ISS-PN/IMM according to the invention may also be achieved by incorporating the ISS-PN/IMM in *cis* or in *trans* into a recombinant expression vector (plasmid, cosmid, virus or retrovirus) which codes for any therapeutically beneficial protein deliverable by a recombinant expression vector.  
10 If incorporation of an ISS-PN/IMM into an expression vector for use in practicing the invention is desired, such incorporation may be accomplished using conventional techniques which do not require detailed explanation to one of ordinary skill in the art. For review, however, those of ordinary skill may wish to consult Ausubel, *Current Protocols in Molecular Biology*, supra.

15           D.    Screening for Active ISS-PN/IMM

Confirmation that a particular compound has the properties of an ISS-PN/IMM useful in the invention can be obtained by evaluating whether the ISS-PN/IMM affects cytokine secretion and IgG antibody isotype production as described in Section A.I, above. Details of *in vitro* techniques useful in making such an evaluation are given  
20 in the Examples; those of ordinary skill in the art will also know of, or can readily ascertain, other methods for measuring cytokine secretion and antibody production along the parameters taught herein.

          E.    Kits for Use in Practicing the Methods of the Invention

For use in the methods described above, kits are also provided by the invention. Such  
25 kits may include any or all of the following: ISS-PN/IMM (conjugated or

- 34 -

unconjugated); a pharmaceutically acceptable carrier (may be pre-mixed with the ISS-PN/IMM) or suspension base for reconstituting lyophilized ISS-PN/IMM; additional medicaments; a sterile vial for each ISS-PN/IMM and additional medicament, or a single vial for mixtures thereof; device(s) for use in delivering ISS-PN/IMM to a host;

5 assay reagents for detecting indicia that the anti-inflammatory and/or immunostimulatory effects sought have been achieved in treated animals and a suitable assay device.

Examples illustrating the practice of the invention are set forth below. The examples are for purposes of reference only and should not be construed to limit the invention,

10 which is defined by the appended claims. All abbreviations and terms used in the examples have their expected and ordinary meaning unless otherwise specified.

- 35 -

EXAMPLE I**SELECTIVE INDUCTION OF A Th1 RESPONSE IN A HOST  
AFTER ADMINISTRATION OF AN ISS-PN/IMM**

- 5 In mice, IgG 2A antibodies are serological markers for a Th1 type immune response, whereas IgG 1 antibodies are indicative of a Th2 type immune response. Th2 responses include the allergy-associated IgE antibody class; soluble protein antigens tend to stimulate relatively strong Th2 responses. In contrast, Th1 responses are induced by antigen binding to macrophages and dendritic cells.
- 10 To determine which response, if any, would be produced by mice who received ISS-PN/IMM according to the invention, eight groups of Balb/c mice were immunized with 10µg β-galactosidase protein (conjugated to avidin; Sigma, St. Louis, MO) to produce a model allergic phenotype. As set forth in the Table below, some of the mice received antigen alone, some received an antigen-ISS-PN conjugate or a
- 15 conjugate using a mutant, non-stimulatory PN as a conjugate for the antigen, and others received the antigen in an unconjugated mixture with an ISS-PN. Naive mice are shown for reference:

- 36 -

Mouse Group	ISS-PN/IMM Treatment
1	None ( $\beta$ -gal antigen vaccinated)
2	DY1018- $\beta$ gal conjugate (ISS-PN/IMM)
3	DY1019- $\beta$ gal conjugate (PN/IMM)
5 4	DY1018 mixed with $\beta$ gal (unconjugated)
5	$\beta$ gal in adjuvant (alum)
6	plasmid DNA (ISS-ODN present but not expressible with antigen)
7	naive mice (no antigen priming)

DY1018 has the nucleotide sequence:

10 5'-TGACTGTGAACGTTTCGAGATGA-3' with a phosphothioate backbone

and DY1019 has the nucleotide sequence:

5'-TGACTGTGAAGGTTGGAGATGA-3' with a phosphothioate backbone.

At 2 week intervals, any IgG 2a and IgG 1 to  $\beta$ -galactosidase present in the serum of each mouse were measured by enzyme-linked immunoabsorbent assay (using  
15 antibodies specific for the IgG 1 and IgG 2A subclasses) on microtiter plates coated with the enzyme.

As shown in FIGURE 1, only the mice who received the ISS-PN/IMM produced high titers of IgG 2A antibodies, which increased in number over a period of 8 weeks. As

- 37 -

shown in FIGURE 2, immunization of the mice with the antigen itself or with the PN/IMM induced production of relatively high titers of IgG 1 antibodies. The data shown in the FIGURES comprise averages of the values obtained from each group of mice.

- 5 To evaluate the effect of treatment of a host before and after a secondary antigen challenge, 3 groups of Balb/c mice were immunized with 10 $\mu$ g of antigen E (AgE) in alum to produce a model allergic phenotype and challenged again with the antigen, ISS-PN/IMM or mutant (nonstimulatory) PN/IMM at 5 weeks post-priming. An ELISA for IgG1 and IgG2a antibodies was performed as described 4 weeks after
- 10 priming (one week before secondary antigen challenge) and again at 7 weeks (2 weeks after secondary challenge).

Again, the mice who received the ISS-PN/IMM mounted a strong Th1 type response to the antigen (IMM) as compared to the antigen-immunized and mutant PN/IMM immunized mice (FIGURE 3), while the reverse was true of a Th2 type response in

15 the same mice (FIGURE 4).

These data indicate that a selective Th1 response is induced by administration of an ISS-PN/IMM according to the invention to both an antigen-primed (pre-antigen challenge) and an antigen-challenged host.

#### EXAMPLE II

20

#### **SUPPRESSION OF IgE ANTIBODY RESPONSE TO ANTIGEN BY IMMUNIZATION WITH ISS-PN/IMM**

To demonstrate the IgE suppression achieved through stimulation of a Th1 type cellular immune response in preference to a Th2 type cellular immune response, five

- 38 -

to eight week old Balb/c mice were immunized with AgE as described in the previous Example.

IgE anti-AgE were detected using a solid phase radioimmunoassay (RAST) in a 96 well polyvinyl plate (a radioisotopic modification of the ELISA procedure described  
5 in Coligan, *"Current Protocols In Immunology"*, Unit 7.12.4, Vol. 1, Wiley & Sons, 1994), except that purified polyclonal goat antibodies specific for mouse  $\epsilon$  chains were used in lieu of antibodies specific for human Fab. To detect anti-AgE IgE, the plates were coated with AgE (10 $\mu$ g/ml). The lowest IgE concentration measurable by the assay employed was 0.4ng of IgE/ml.

10 Measuring specifically the anti-antigen response by each group of mice, as shown in FIGURE 5, anti-AgE IgE levels in the ISS-PN/IMM immunized mice were consistently low both before and after boosting, while the protein and mutant ISS-PN/IMM injected mice developed high levels of anti-AgE after antigen challenge.

These data show that the ISS-PN/IMM immunized mice developed an antigen specific  
15 Th1 response (suppressing the Th2 IgE response) to the antigen.

### EXAMPLE III

#### INF $\gamma$ LEVELS IN MICE AFTER DELIVERY OF ISS-PN/IMM

BALB/c mice were immunized with  $\beta$ gal as described in Example I then sacrificed 24  
20 hrs later. Splenocytes were harvested from each mouse.

96 well microtiter plates were coated with anti-CD3 antibody (Pharmingen, La Jolla, CA) at a concentration of 1 $\mu$ g/ml of saline. The anti-CD3 antibody stimulates T cells by delivering a chemical signal which mimicks the effects of binding to the T cell receptor (TCR) complex. The plates were washed and splenocytes added to each well



- 39 -

(4x10<sup>5</sup>/well) in a medium of RPMI 1640 with 10% fetal calf serum. Supernatants were obtained at days 1, 2 and 3.

Th1 cytokine (INF $\gamma$ ) levels were assayed with an anti-INF $\gamma$  murine antibody assay (see, e.g., Coligan, *"Current Protocols in Immunology"*, Unit 6.9.5., Vol. 1, Wiley & Sons, 1994). Relatively low levels of INF- $\gamma$  would be expected in mice with a Th2 phenotype, while relatively high levels of INF- $\gamma$  would be expected in mice with a Th1 phenotype.

As shown in FIGURE 5, levels of Th1 stimulated IFN- $\gamma$  secretion were greatly increased in the ISS-PN/IMM treated mice, but substantially reduced in each other set of mice (as compared to the control), indicating development of a Th2-type phenotype in the latter mice and a Th1 phenotype in the ISS-PN/IMM treated mice.

#### EXAMPLE IV

##### **BOOSTING OF CTL RESPONSES BY ISS-PN/IMM**

A mixture of lymphocytes was obtained and contacted with  $\beta$ gal antigen alone or as part of the constructs and mixtures described in Example I. As shown in FIGURE 6, CTL production in response to ISS-PN/IMM was consistently higher than the response to antigen delivered in other forms; even twice as high than in animals treated with an unconjugated mixture of ISS-PN and IMM antigen.

In the experiment, the higher values for the mice treated with M-ISS-PN/IMM after antigen challenge as compared to the conventionally immunized mice is most likely owing to the antigen carrier properties of DY1019.

Thus, longer-term immunity mediated by cellular immune responses is benefitted by treatment according to the invention.

The invention claimed is:

- 40 -

## CLAIMS

1. An immunomodulatory composition comprising an immunomodulatory molecule, which molecule comprises an antigen, conjugated to a polynucleotide that contains at least one immunostimulatory nucleotide sequence (ISS).
- 5        2. The composition of claim 1, wherein the antigen is selected from the group consisting of proteins, glycoproteins, polysaccharides and gangliosides.
3. The composition of claim 2, wherein the ISS comprises a nucleotide sequence selected from the group CpG, p(GC) and p(IC).
4. The composition of claim 2, wherein the ISS comprises a CG containing  
10 oligonucleotide.
5. The composition of claim 4, wherein the ISS further comprises a pG nucleotide sequence.
6. The composition of claim 4, wherein the CG containing oligonucleotide has the sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.
- 15       7. The composition of claim 3, wherein the CpG, p(GC) or p(IC) containing nucleotide sequence is a palindromic double-stranded or non-palindromic single-stranded oligonucleotide.
8. The composition of claim 6, wherein the oligonucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT,  
20 AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

- 41 -

9. The composition of claim 6, wherein the oligonucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, and AGCGTC.

10. The composition of claim 6, wherein the oligonucleotide sequence is  
5 selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

11. The composition of claim 2, wherein the polynucleotide further comprises a linear DNA sequence.

12. The composition of claim 2, wherein the polynucleotide further comprises a circular DNA sequence.

10 13. The composition of claim 2, wherein the polynucleotide further comprises an RNA nucleotide sequence.

14. The composition of claim 13, wherein the RNA nucleotide sequence comprises a sequence selected from the group consisting of AACGUU, AACGpI, AACGpC, AGCGUC, AGCGpI, AGCGpC, GACGCU, GACGCpI, GACGCpC,  
15 GACGUU, GACGpI, GACGpC, GACGUC, GACGpI, GACGpC.

15. The composition of claim 13, wherein the RNA nucleotide sequence comprises a double-stranded poly(I•C) sequence.

16. The composition of claim 13, wherein the RNA nucleotide sequence comprises a sequence selected from the group consisting of AACGUU, AACGpI,  
20 AACGpC, AGCGUC, AGCGpI, AGCGpC.

- 42 -

17. The composition of claim 13, wherein the RNA nucleotide sequence comprises a sequence selected from the group consisting of AACGUU, AACGpI, AACGpC.
18. The composition of claim 2, wherein the polynucleotide further  
5 comprises at least one modified oligonucleotide.
19. The composition of claim 11, wherein the ISS is contained within the linear DNA sequence, and further wherein the ISS comprises a Purine, Purine, CG, Pyrimidine, Pyrimidine nucleotide sequence.
20. The composition of claim 11, wherein the ISS is contained within the  
10 linear DNA sequence, and further wherein the ISS comprises a CG containing pG nucleotide sequence.
21. The composition of claim 12, wherein the ISS is contained within the circular DNA nucleotide sequence, and further wherein the ISS comprises a Purine, Purine, CG, Pyrimidine, Pyrimidine nucleotide sequence.
- 15 22. The composition of claim 12, wherein the ISS is contained within the circular DNA nucleotide sequence, and further wherein the ISS comprises a CG containing pG nucleotide sequence.
23. The composition of claim 13, wherein the ISS is contained within the RNA nucleotide sequence, and further wherein the ISS comprises a Purine, Purine,  
20 CG, Pyrimidine, Pyrimidine nucleotide sequence.
24. The composition of claim 13, wherein the ISS is contained with the RNA nucleotide sequence, and further wherein the ISS comprises CG containing pG nucleotide sequence.

- 43 -

25. The composition of claim 4, wherein the CG containing nucleotide sequence further comprises a modified oligonucleotide.
26. The composition of claim 6, wherein the 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3' nucleotide sequence further comprises a modified  
5 oligonucleotide.
27. An immunomodulatory composition comprising an immunomodulatory molecule, which molecule comprises an antigen and an immunostimulatory peptide, conjugated to a polynucleotide that contains at least one ISS.
28. The composition of claim 27, wherein the polynucleotide is DNA or  
10 RNA.
29. The composition of claim 27, wherein the immunostimulatory peptide is selected from the group consisting of co-stimulatory molecules, cytokines, chemokines, targeting protein ligands, and trans-activating factors.
30. The composition of claim 27, wherein the ISS comprises a DNA or  
15 RNA nucleotide sequence selected from the group CG, p(GC) and p(IC).
31. The composition of claim 27, wherein the ISS comprises a CG containing oligonucleotide.
32. The composition of claim 31, wherein the ISS further comprises a pG nucleotide sequence.
- 20 33. The composition of claim 31, wherein the CG containing nucleotide sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

- 44 -

34. The composition of claim 31, wherein the CG containing nucleotide sequence is a palindromic double-stranded or non-palindromic single-stranded oligonucleotide.

35. The composition of claim 33, wherein the nucleotide sequence is  
5 selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

36. The composition of claim 33, wherein the nucleotide sequence is  
selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT,  
10 AACGTC, and AGCGTC.

37. The composition of claim 33, wherein the nucleotide sequence is  
selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

38. The composition of claim 29, wherein the polynucleotide further  
comprises a linear DNA nucleotide sequence.

15 39. The composition of claim 29, wherein the polynucleotide further  
comprises a circular DNA nucleotide sequence.

40. The composition of claim 29, wherein the polynucleotide portion  
further comprises an RNA nucleotide sequence.

41. The composition of claim 40, wherein the RNA nucleotide sequence  
20 comprises a nucleotide sequence selected from the group consisting of AACGUU, AACGpI, AACGpC, AGCGUC, AGCGpI, AGCGpC, GACGCU, GACGCpI, GACGCpC, GACGUU, GACGpI, GACGpC, GACGUC, GACGpI, GACGpC.

- 45 -

42. The composition of claim 40, wherein the RNA nucleotide sequence comprises a double-stranded poly(I•C) nucleotide sequence.

43. The composition of claim 40, wherein the RNA nucleotide sequence comprises a nucleotide sequence selected from the group consisting of AACGUU,  
5 AACGpI, AACGpC, AGCGUC, AGCGpI, AGCGpC.

44. The composition of claim 40, wherein the RNA nucleotide sequence comprises a nucleotide sequence selected from the group consisting of AACGUU, AACGpI, AACGpC.

45. The composition of claim 29, wherein the polynucleotide portion  
10 further comprises at least one modified oligonucleotide.

46. The composition of claim 38, wherein the ISS is contained within the linear DNA nucleotide sequence, and further wherein the ISS comprises a Purine, Purine, CG, Pyrimidine, Pyrimidine nucleotide sequence.

47. The composition of claim 38, wherein the ISS is contained within the  
15 linear DNA nucleotide sequence, and further wherein the ISS comprises a CG containing pG nucleotide sequence.

48. The composition of claim 39, wherein the ISS is contained within the circular DNA nucleotide sequence, and further wherein the ISS comprises a Purine, Purine, CG, Pyrimidine, Pyrimidine nucleotide sequence.

20 49. The composition of claim 39, wherein the ISS is contained within the circular DNA nucleotide sequence, and further wherein the ISS comprises a CG containing pG nucleotide sequence.

- 46 -

50. The composition of claim 40, wherein the ISS is contained within the RNA nucleotide sequence, and further wherein the ISS comprises a Purine, Purine, CG, Pyrimidine, Pyrimidine nucleotide sequence.

51. The composition of claim 40, wherein the ISS is contained with the  
5 RNA nucleotide sequence, and further wherein the ISS comprises CG containing pG nucleotide sequence.

52. The composition of claim 31, wherein the CG containing nucleotide sequence further comprises a modified oligonucleotide.

53. The composition of claim 33, wherein the 5'-Purine, Purine, CG,  
10 Pyrimidine, Pyrimidine-3' nucleotide sequence further comprises a modified oligonucleotide.

54. A method of modulating an immune response comprising the administration of an immunomodulatory composition comprising an immunomodulatory molecule, which molecule comprises an antigen, conjugated to an  
15 polynucleotide that contains at least one ISS.

55. The method of claim 54, wherein the route of administration is a dermal route.

56. The method of claim 54, wherein the route of administration is low-frequency ultrasonic delivery.

20 57. The method of claim 54, wherein the antigen is selected from the group consisting of proteins, glycoproteins, polysaccharides and gangliosides.



- 47 -

58. The method of claim 57, wherein the ISS comprises a DNA or RNA nucleotide sequence selected from the group CG, p(GC) and p(IC).

59. The method of claim 57, wherein the ISS comprises a CG containing oligonucleotide.

5 60. The method of claim 59, wherein the ISS further comprises a pG nucleotide sequence.

61. The method of claim 59, wherein the CG containing nucleotide sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

62. The method of claim 59, wherein the CG containing nucleotide  
10 sequence is a palindromic or non-palindromic oligonucleotide nucleotide sequence.

63. The method of claim 59, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

15 64. The method of claim 59, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, and AGCGTC.

65. The method of claim 59, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

20 66. The method of claim 54, wherein the immune response modulation comprises the induction of a Th1 response.

- 48 -

67. The method of claim 66, wherein the antigen molecule is selected from the group consisting of proteins, glycoproteins and polysaccharides.

68. The method of claim 67, wherein the ISS comprises a DNA or RNA nucleotide sequence selected from the group CG, p(GC) and p(IC).

5 69. The method of claim 67, wherein the ISS comprises a CG containing oligonucleotide.

70. The method of claim 69, wherein the ISS further comprises a pG nucleotide sequence.

10 71. The method of claim 69, wherein the CG containing nucleotide sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

72. The method of claim 69, wherein the CG containing nucleotide sequence is a double-stranded palindromic or single-stranded non-palindromic oligonucleotide nucleotide sequence.

15 73. The method of claim 69, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

20 74. The method of claim 69, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, and AGCGTC.

75. The method of claim 69, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

- 49 -

76. A method of modulating an immune response comprising the administration of an immunomodulatory composition comprising an immunomodulatory molecule, which molecule is comprised of an antigen and an immunostimulatory peptide, conjugated to a polynucleotide that contains at least one  
5 ISS.

77. The method of claim 76, wherein the route of administration is a dermal route.

78. The method of claim 76, wherein the route of administration is low-  
10 frequency ultrasonic delivery.

79. The method of claim 76, wherein the immunostimulatory peptide is selected from the group consisting of co-stimulatory molecules, cytokines, chemokines, targeting protein ligands, and trans-activating factors.

80. The method of claim 79, wherein the ISS comprises a nucleotide  
15 sequence selected from the group CG, p(GC) and p(IC).

81. The method of claim 79, wherein the ISS comprises a CG containing oligonucleotide.

82. The method of claim 81, wherein the ISS further comprises a pG nucleotide sequence.

20 83. The method of claim 81, wherein the CG containing nucleotide sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

- 50 -

84. The method of claim 81, wherein the CG containing nucleotide sequence is a double-stranded palindromic or single-stranded non-palindromic oligonucleotide nucleotide sequence.

85. The method of claim 81, wherein the nucleotide sequence is selected  
5 from the group consisting of AACGTT, AGCGTT, GACGTT, GCGGTT, AACGTC, AGCGTC, GACGTC, GCGGTC, AACGCC, AGCGCC, GACGCC, GCGGCC, AACGCT, AGCGCT, GACGCT, and GCGGCT.

86. The method of claim 81, wherein the nucleotide sequence is selected  
from the group consisting of AACGTT, AGCGTT, GACGTT, GCGGTT, AACGTC,  
10 and AGCGTC.

87. The method of claim 81, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

88. The method of claim 76, wherein the immune response modulation comprises the induction of a Th1 response.

89. The method of claim 88, wherein the antigen is selected from the  
15 group consisting of proteins, glycoproteins and polysaccharides.

90. The method of claim 89, wherein the ISS comprises a nucleotide sequence selected from the group CG, p(GC) and p(IC).

91. The method of claim 89, wherein the ISS comprises a CG containing  
20 oligonucleotide.

92. The method of claim 91, wherein the ISS further comprises a pG nucleotide sequence.

- 51 -

93. The method of claim 91, wherein the CG containing nucleotide sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

94. The method of claim 91, wherein the CG containing nucleotide sequence is a double-stranded palindromic or single-stranded non-palindromic  
5 oligonucleotide nucleotide sequence.

95. The method of claim 91, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

10 96. The method of claim 91, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, and AGCGTC.

97. The method of claim 91, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

15 98. A method for introducing a soluble antigen into the Class I MHC processing pathway of the mammalian immune system to elicit a CTL response to the antigen comprising administering a polynucleotide conjugated to an immunomodulatory molecule, which molecule comprises the antigen, to a mammalian host.

20 99. The method of claim 98 wherein the polynucleotide includes at least one ISS.

100. The method of claim 98 wherein the polynucleotide is free of ISS.

- 52 -

101. The method of claim 98, wherein the antigen is selected from the group consisting of proteins, glycoproteins and polysaccharides.

102. The method of claim 98, wherein the ISS comprises a nucleotide sequence selected from the group CG, p(GC) and p(IC).

5 103. The method of claim 98, wherein the ISS comprises a CG containing oligonucleotide.

104. The method of claim 103, wherein the ISS further comprises a pG nucleotide sequence.

105. The method of claim 103, wherein the CG containing nucleotide  
10 sequence is the nucleotide sequence 5'-Purine, Purine, CG, Pyrimidine, Pyrimidine-3'.

106. The method of claim 103, wherein the CG containing nucleotide sequence is a double-stranded palindromic or single-stranded non-palindromic oligonucleotide nucleotide sequence.

107. The method of claim 102, wherein the nucleotide sequence is selected  
15 from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC, AGCGTC, GACGTC, GGCGTC, AACGCC, AGCGCC, GACGCC, GGCGCC, AACGCT, AGCGCT, GACGCT, and GGCGCT.

108. The method of claim 102, wherein the nucleotide sequence is selected  
from the group consisting of AACGTT, AGCGTT, GACGTT, GGCGTT, AACGTC,  
20 and AGCGTC.

109. The method of claim 102, wherein the nucleotide sequence is selected from the group consisting of AACGTT, AGCGTT, and GACGTT.

- 53 -

110. The method of claim 98, wherein the polynucleotide comprises a GpG oligonucleotide.

111. The method of claim 110, wherein the nucleotide sequence is selected from the group consisting of AAGGTT, AGGGTT, GAGGTT, GGGGTT, AAGGTC,  
5 AGGGTC, GAGGTC, GGGGTC, AAGGCC, AGGGCC, GAGGCC, GGGGCC, AAGGCT, AGGGCT, GAGGCT, and GGGGCT.

112. The composition of claim 110, wherein the nucleotide sequence is selected from the group consisting of AAGGTT, AGGGTT, GAGGTT, GGGGTT, AAGGTC, and AGGGTC.

10 113. The composition of claim 110, wherein the nucleotide sequence is selected from the group consisting of AAGGTT, AGGGTT, and GAGGTT.

114. A composition for introducing a soluble antigen into the Class I MHC processing pathway of the mammalian immune system to elicit a CTL response to the antigen comprising a polynucleotide conjugated to an immunomodulatory  
15 molecule, which molecule comprises the antigen.

115. The composition of claim 114, wherein the antigen is selected from the group consisting of proteins, glycoproteins and polysaccharides.

116. The composition of claim 114 wherein the polynucleotide comprises a GpG oligonucleotide.

20 117. The composition of claim 116, wherein the nucleotide sequence is selected from the group consisting of AAGGTT, AGGGTT, GAGGTT, GGGGTT, AAGGTC, AGGGTC, GAGGTC, GGGGTC, AAGGCC, AGGGCC, GAGGCC, GGGGCC, AAGGCT, AGGGCT, GAGGCT, and GGGGCT.

- 54 -

118. The composition of claim 116, wherein the nucleotide sequence is selected from the group consisting of AAGGTT, AGGGTT, GAGGTT, GGGGTT, AAGGTC, and AGGGTC.

119. The composition of claim 116, wherein the nucleotide sequence is  
5 selected from the group consisting of AAGGTT, AGGGTT, and GAGGTT.



1 / 7

pACB-Z  
 bgal  
 ISS conl (1.5) - pro/ISS  
 ISS mix (1.5) - pro + ISS  
 mISS conl (1.5)  
 bgal/alum  
 naive

mean +/- SD

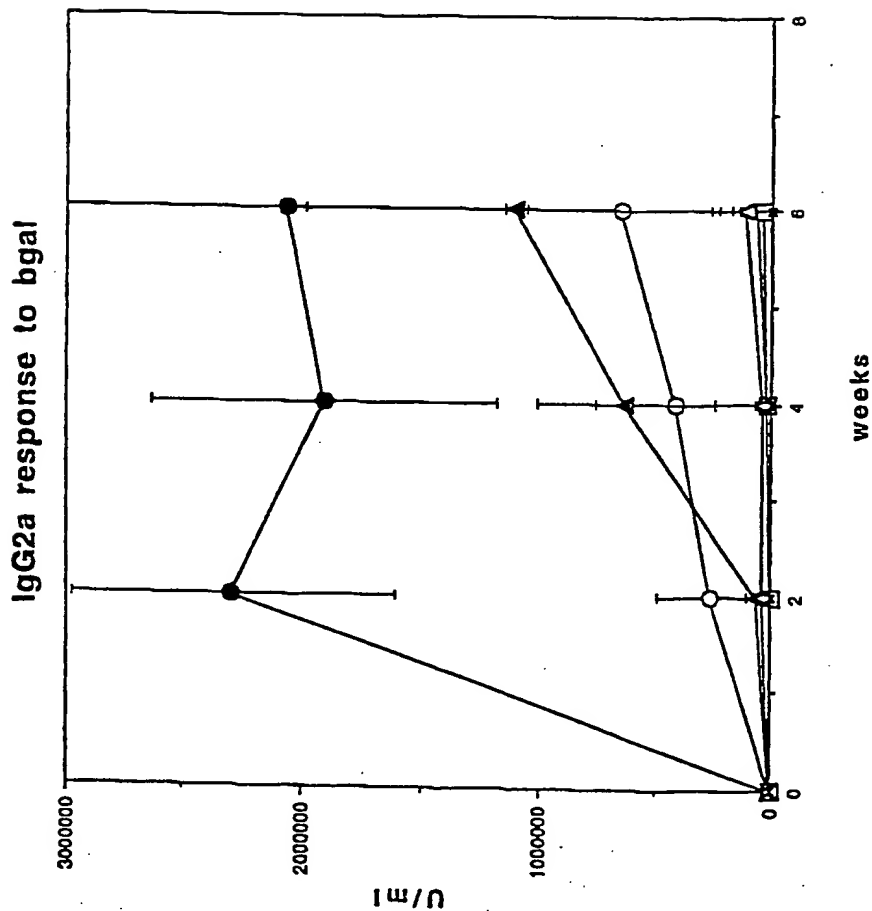


FIGURE 1

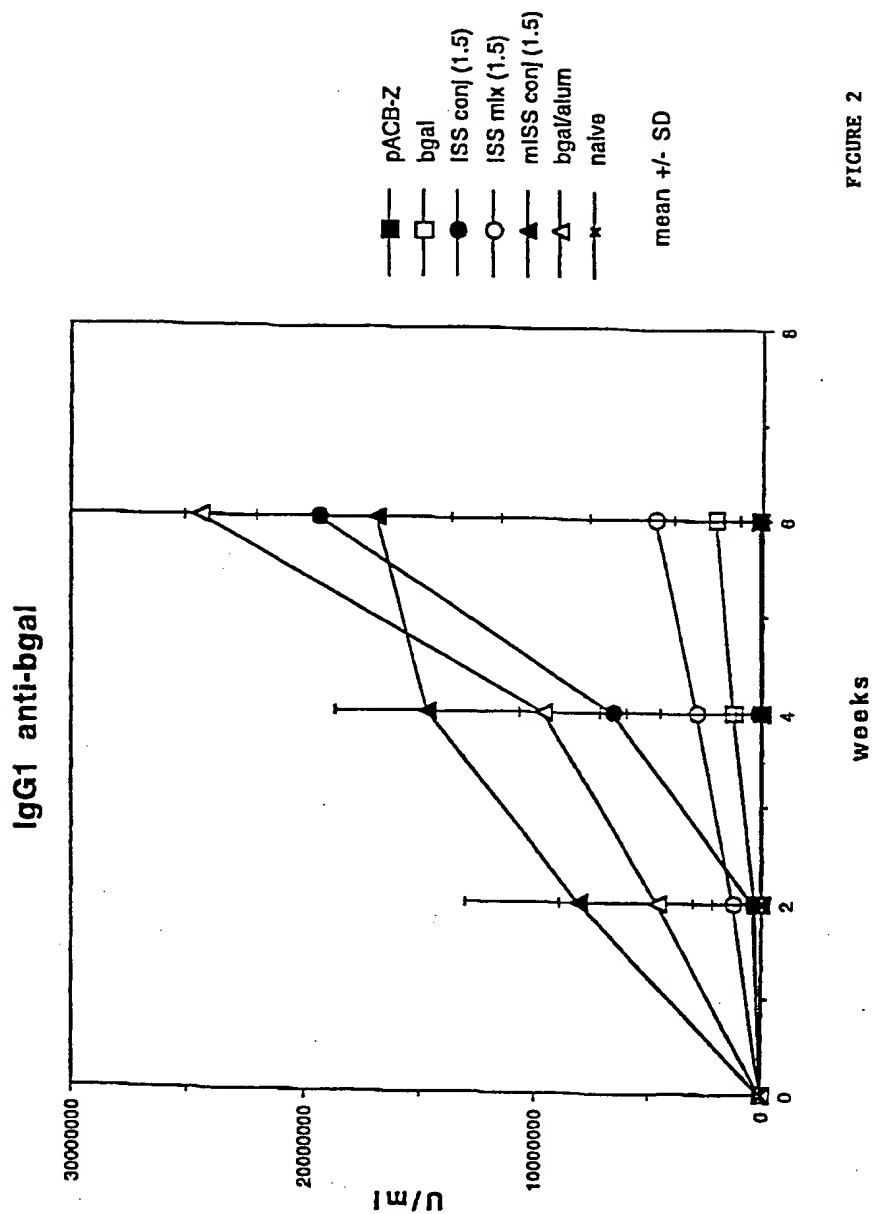


FIGURE 2

3 / 7

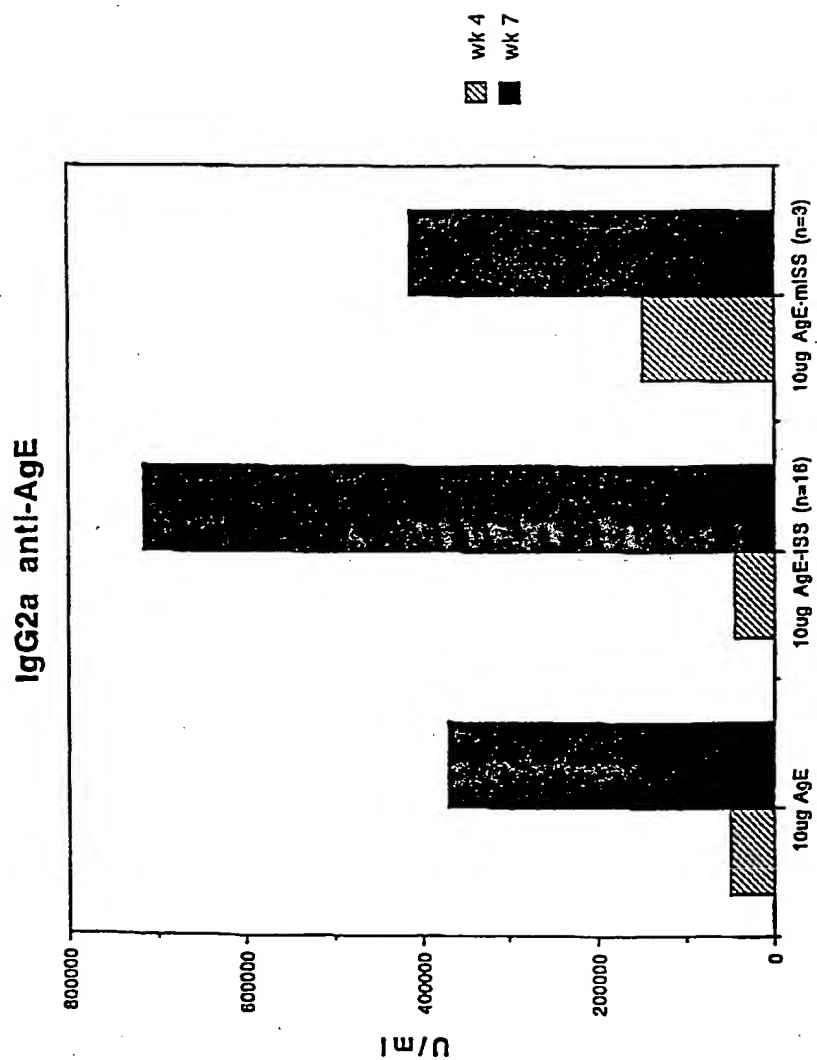


FIGURE 3

4/7

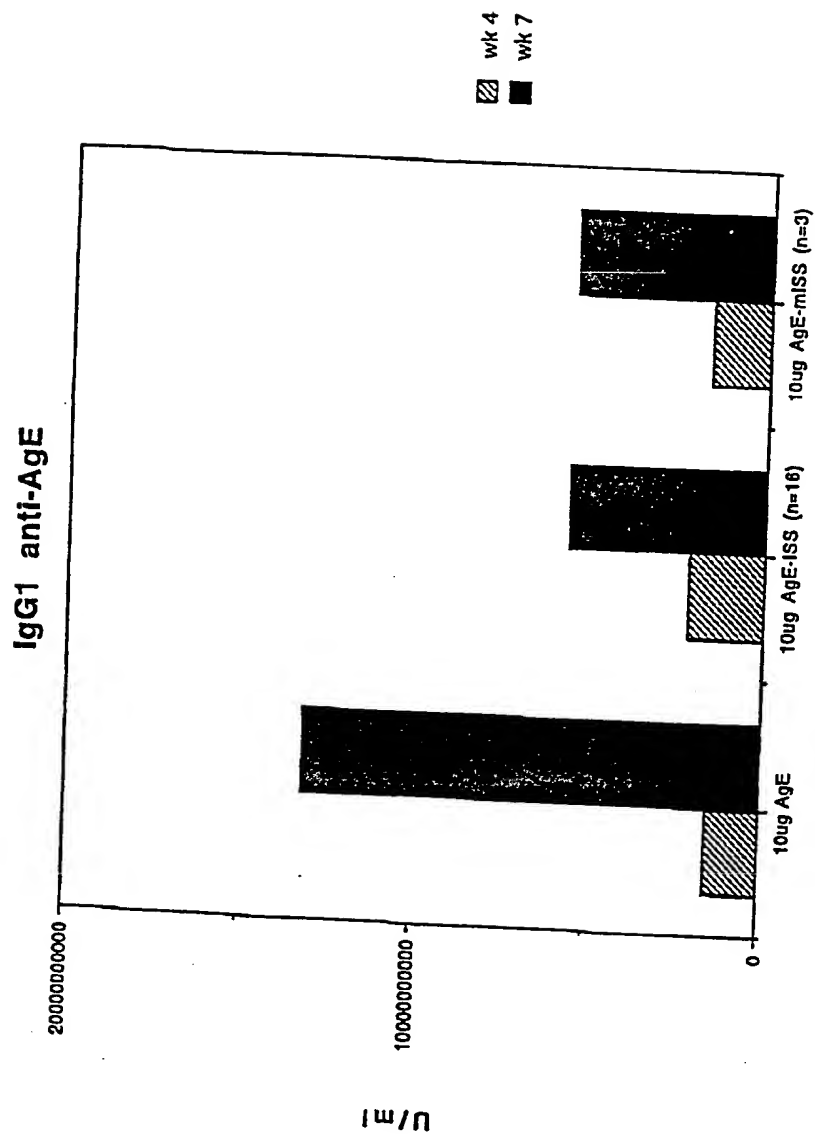


FIGURE 4

5 / 7

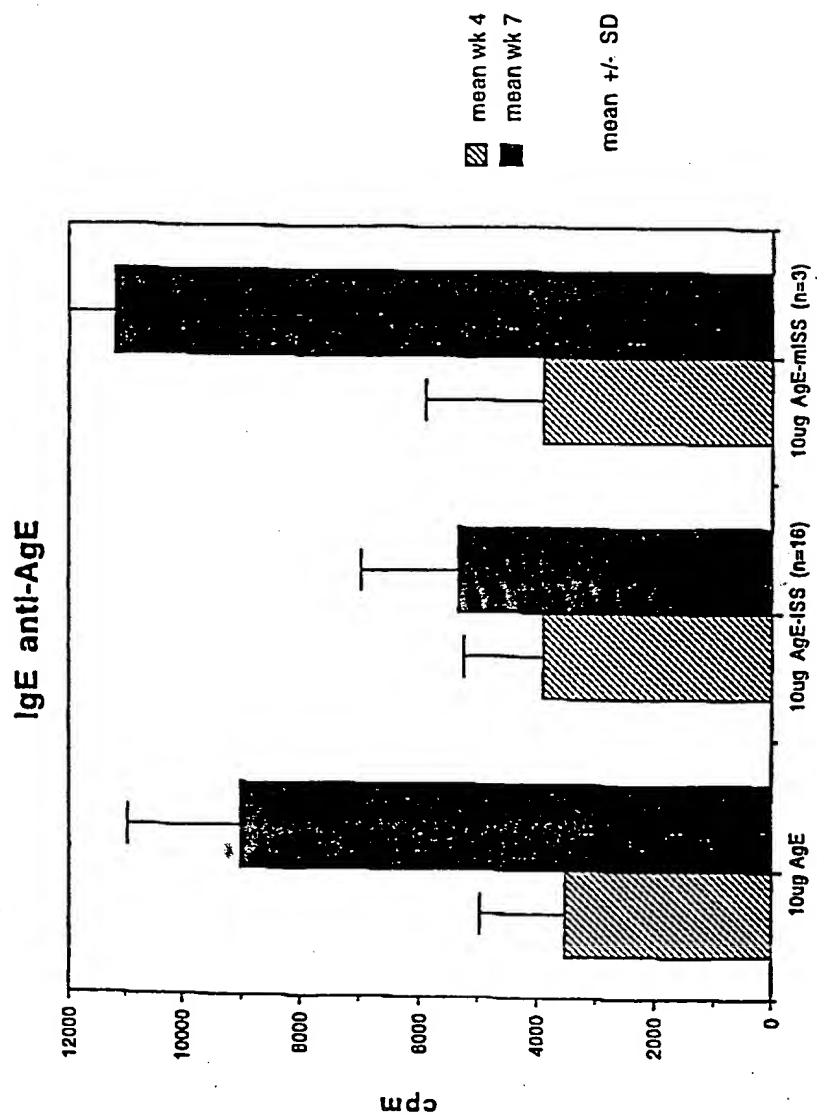


FIGURE 5

Antigen specific IFN $\gamma$  production in vitro by spleen cells

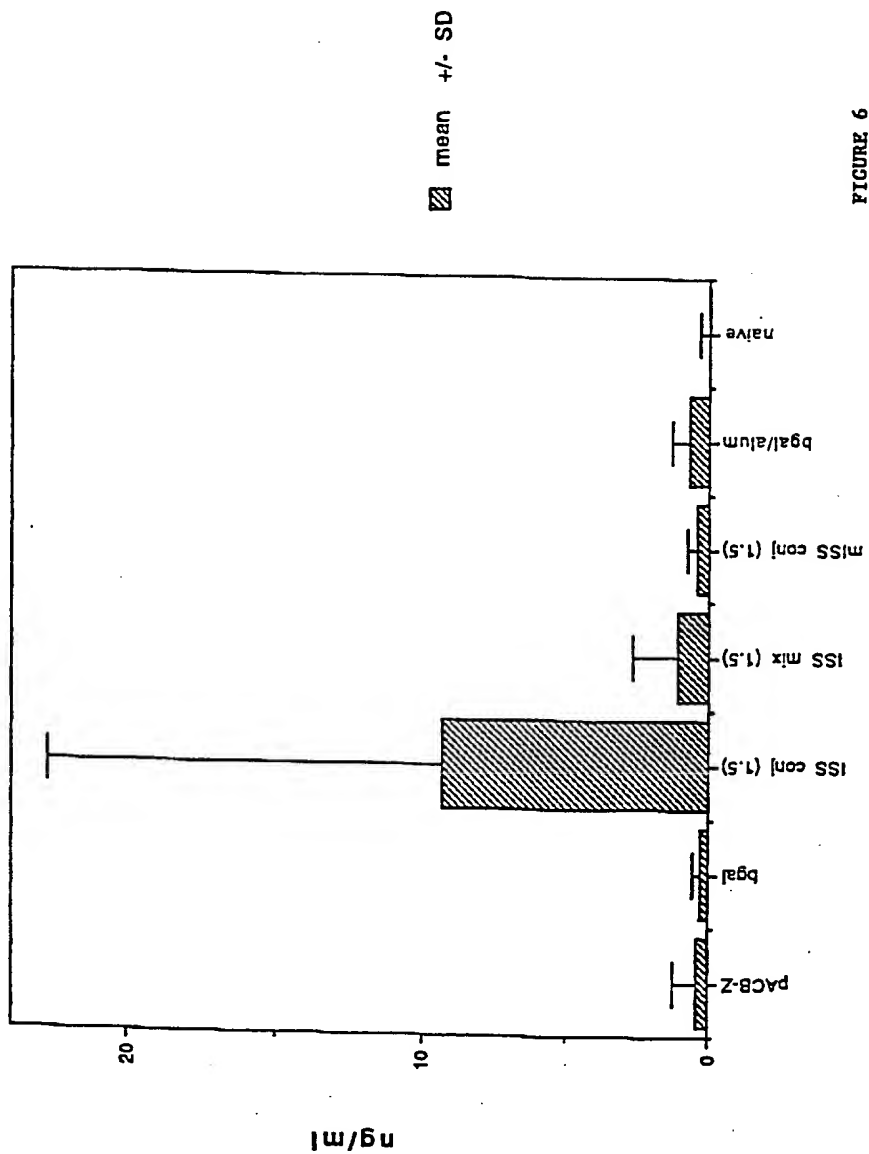


FIGURE 6

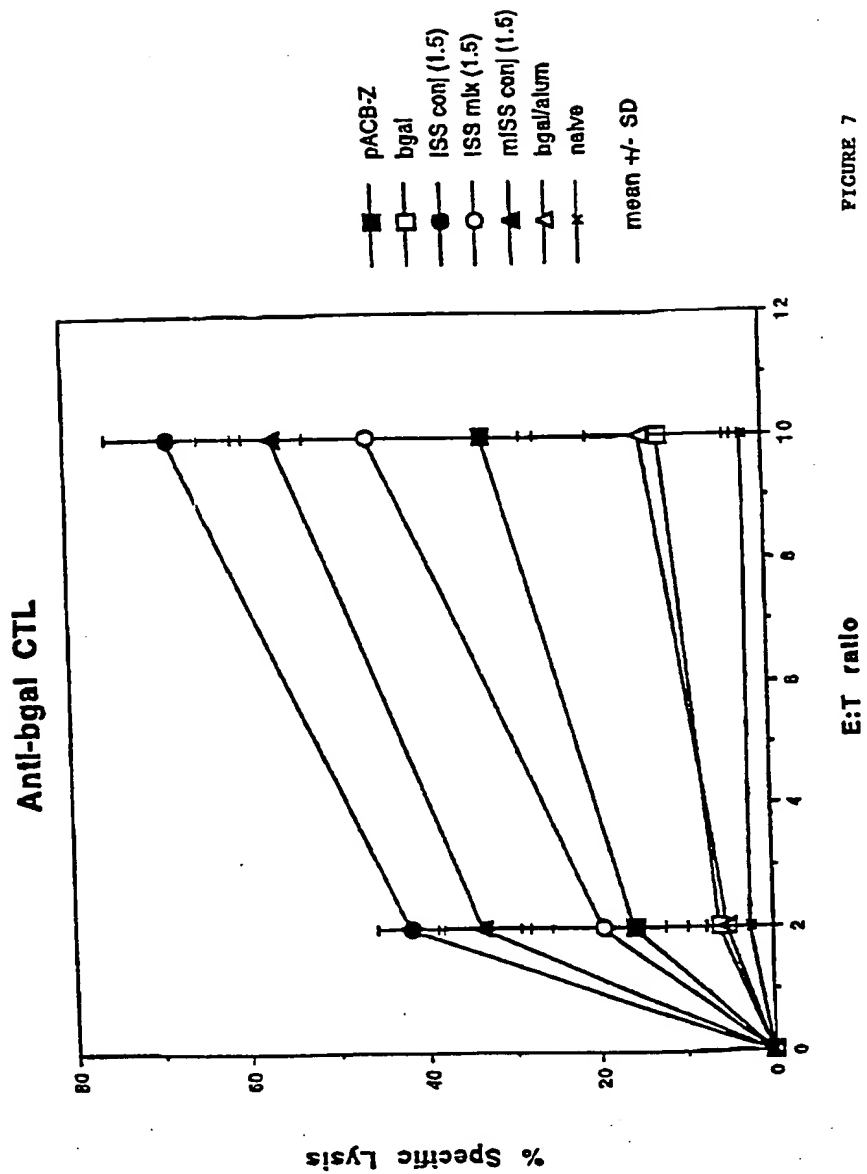


FIGURE 7

## INTERNATIONAL SEARCH REPORT

International Application No.

PCT/US 97/19004

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 6 A61K39/00 A61K39/385 A61K39/39

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 A61K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	WO 96 02555 A (UNIV IOWA RES FOUND) 1 February 1996 see page 7, line 5 - page 8, line 6 see page 11, line 10 - line 20; table 1 see page 21, line 18 - line 21	1,54
Y		2-53, 55-119
Y	IVAN M. ROIT: "ENCYCLOPEDIA OF IMMUNOLOGY" 1992, ACADEMIC PRESS, LONDON XP002058362 see page 28 - page 30 see page 30, left column, first paragraph --- -/--	2-53, 55-119

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

## \* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

\*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*Z\* document member of the same patent family

Date of the actual completion of the international search

10 March 1998

Date of mailing of the international search report

25.03.1998

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 eponl,  
Fax: (+31-70) 340-3016

Authorized officer

Fernandez y Branas, F



# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 97/19004

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>RAZ E. ET AL: "Potential role of immunostimulatory DNA sequences (ISS) in genetic immunization and autoimmunity" ARTHRITIS &amp; RHEUMATISM, vol. 39, no. 9, September 1996, page 615 XP002058356 see the whole document ---</p>	1-119
A	<p>SATO Y. ET AL: "Immunostimulatory DNA sequences necessary for effective intradermal gene immunization" SCIENCE, vol. 273, July 1996, LANCASTER, PA US, XP002058357 see the whole document ---</p>	1-119
A	<p>ARTHUR M. KRIEG ET AL: "CpG motifs in bacterial DNA trigger direct B-cell activation" NATURE, vol. 374, 1995, LONDON GB, pages 546-549, XP002058358 see the whole document ---</p>	1-119
A	<p>BALLAS, Z.K. ET AL: "Induction of NK activity in murine and human cells by CpG motifs in oligodeoxynucleotides and bacterial DNA" JOURNAL OF IMMUNOLOGY, vol. 157, September 1996, BALTIMORE US, pages 1840-1845, XP002058359 see the whole document ---</p>	1-119
A	<p>RAZ E. ET AL: "Preferential induction of a Th1 immune response and inhibition of specific IgE antibody formation by plasmid DNA immunization" PROCEEDINGS OF THE NATIONAL ACADEMY OF SCIENCES OF USA, vol. 93, May 1996, WASHINGTON US, pages 5141-5145, XP002058360 see the whole document ---</p>	1-119
A	<p>BRANDA R.F. ET AL: "Amplification of antibody production by phosphorothioate oligodeoxynucleotides" THE JOURNAL OF LABORATORY AND CLINICAL MEDICINE, vol. 128, no. 3, September 1996, pages 329-338, XP002058361 see the whole document ---</p>	1-119
3 5	<p>WO 95 26204 A (ISIS PHARMACEUTICALS INC) 5 October 1995 see the whole document ---</p>	1-119
-/--		

Form PCT/ISA/210 (continuation of second sheet) (July 1992)

} Licensed  
in  
to CpG

## INTERNATIONAL SEARCH REPORT

Internal Application No  
PCT/US 97/19004

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 3 906 092 A (HILLEMANN MAURICE R ET AL) 16 September 1975 see the whole document ---	1-119
A	US 3 725 545 A (MAES R) 3 April 1973 see the whole document ---	1-119
A	GB 1 234 718 A (MERCK) 9 June 1971 see the whole document -----	1-119

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

This international search report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

Claims Nos.: 112-113 (partially)

because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:

Claims 112-113 refer to the compositions of claim 110; however, claim 110 is a method claim. This is obscure. Hence, claims 112-113 have been understood as method claims.

Remark : Although claims 54-113 are directed to a method of treatment of the human/animal body , the search has been carried out and based on the alleged effects of the composition.

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US 97/19004

## Box I Observations where certain claims were found unsearchable (Continuation of Item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:  
see FURTHER INFORMATION sheet PCT/ISA/210
2. ☒ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:  
see FURTHER INFORMATION sheet PCT/ISA/210
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of Item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

THIS PAGE BLANK (12p10)

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 97/19004

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9602555 A	01-02-96	AU 1912795 A EP 0772619 A	16-02-96 14-05-97
WO 9526204 A	05-10-95	US 5663153 A	02-09-97
US 3906092 A	16-09-75	NONE	
US 3725545 A	03-04-73	NONE	
GB 1234718 A	09-06-71	AT 296500 A BE 739046 A CA 918072 A CS 160110 B DE 1946319 A DK 128503 B FR 2018431 A NL 6913336 A,B, SE 364987 B ZA 6905759 A	15-01-72 18-03-70 02-01-73 28-02-75 26-03-70 13-05-74 29-05-70 23-03-70 11-03-74 31-03-71

**THIS PAGE BLANK (USPTO)**

**THIS PAGE BLANK (02920)**

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☒ **SKEWED/SLANTED IMAGES**
- ☒ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☒ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**

**THIS PAGE BLANK (USPTO)**